

**State of Alabama  
Alabama Department of Economic and  
Community Affairs**

**Community and Economic Development Division**



**Community Services Block Grant Program**

**Application and Two Year State Plan  
FY 2015 and FY 2016**

**Robert Bentley  
Governor**

**Jim Byard, Jr.  
Director  
Alabama Department of Economic and Community Affairs**





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## **I. Federal Fiscal Year or Years Covered by this State Plan and Application**

Alabama's FY 2015 and FY 2016 Community Services Block Grant State Plan describe how the Community Services Block Grant (CSBG) program operates within Alabama. The Plan describes how the State collects and analyzes client information and outcomes. The Plan also describes the local service delivery as well as program needs and priorities.

## **II. Letter of Transmittal**

A cover letter is included with the State Plan and will be submitted to the Office of Community Services (OCS) by September 1, 2014. Also included is a form identifying the State CSBG Program contact person and the State CSBG official who is to receive the CSBG grant award with complete address, telephone and fax numbers.

## **III. Executive Summary**

### **A. CSBG State Legislation**

Alabama statutory authority for the CSBG program is identified in Code of Alabama §§ 11-96-1 through 11-96-6. See appendix A. The statutes define a community action program as a community-based and operated program which includes or is designated to include a sufficient number of projects of components to provide, in sum, a range of services and activities having a measurable and potentially major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem. The statute also restates community action program services and activities as outlined in Federal Statute. In addition the statutes provide a definition for Community Action Agency, addresses the composition of the board of directors and the appropriation of funds received through the Community Services Block Grant Act.

### **B. Designation of Lead State Agency to Administer the CSBG Program**

The Legislature of Alabama designated the Alabama Department of Economic and Community Affairs (ADECA) to be the lead agency to administer the Community Services Block Grant in Alabama Code §§ 41-23-1 through 41-23-8. See Appendix B.

Director/Administrator of Designated State Agency; Jim Byard, Jr. Letter of appointment and ADECA's organization chart is attached in Appendix C.

### **C. Public Hearing Requirements**

- (1) **Public Hearing:** A public hearing to discuss the proposed Community Services Block Grant State Plan and Application was held in Montgomery, Alabama on July 28, 2014, at the Alabama Center for Commerce Building, 401 Adams Avenue. The notice for the meeting was e-mailed to the twenty-one eligible entities for posting at each of their service center sites (located in all sixty-seven counties), to all mayors through the Alabama League of Municipalities, and to each of the 67 County Administrators in the state. In addition, a notice of the meeting was placed on the Alabama Secretary of State's Office website, [www.openmeetings.alabama.gov/generalpublic/publicdefault.aspx](http://www.openmeetings.alabama.gov/generalpublic/publicdefault.aspx), as well as on ADECA's website, [www.adeca.alabama.gov/Divisions/ced/csbg](http://www.adeca.alabama.gov/Divisions/ced/csbg).

The documentation pertaining to the public hearing is attached in Appendix D.

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- (2) **Legislative Hearing:** A Legislative Hearing was conducted on August 7, 2014, with the ADECA Legislative Oversight Committee, at the Alabama State House, 11 South Union Street in Montgomery, Alabama. A Notice of the meeting was provided to the community action network and made available to the public through the Alabama Secretary of State's Office website and ADECA's website. The sign-in sheets and minutes of the meeting are attached in Appendix E.
- (3) **Public Inspection of State Plan:** ADECA has made the CSBG State Plan for Fiscal Years 2015 and 2016 available for public inspection and comments by placing a notice of its availability for review at the public hearing, on ADECA's website, [www.adeca.alabama.gov/Divisions/ced/csbhg](http://www.adeca.alabama.gov/Divisions/ced/csbhg).

### IV. Statement of Federal and CSBG Assurances

As part of the biannual application and plan required by Section 676 of the Community Services Block Grant Act, as amended, (42 U.S. C. 9901 et seq), the Alabama Department of Economic and Community Affairs, acting as the lead agency for the administration of the CSBG, hereby agrees to the Assurances in Section 676 of the Act:

#### (A) Programmatic Assurances

- (1) Funds made available through the grant or allotment will be used:
  - a. To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals to:
    - i. Remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
    - ii. Secure and retain meaningful employment;
    - iii. Attain an adequate education, with particular attention toward improving literacy skills of the low-income families in the communities involved, which may include carrying out family literacy initiatives;
    - iv. Make better use of available income;
    - v. Obtain and maintain adequate housing and a suitable living environment;
    - vi. Obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
    - vii. Achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners, to
      - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
      - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;
  - b. To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as:



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- i. programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
    - ii. after-school child care programs; and
  - c. To make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts);
- (2) To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) of the Act in accordance with the community services block grant program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant program. ['676(b)(1)]
  - (3) To provide information provided by eligible entities in the State, containing:
    - (a) A description of the service delivery system, for services provided or coordinated with funds made available through grants made under section 675C(a) of the Act, targeted to low-income individuals and families in communities within the State;
    - (b) A description of how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations;
    - (c) A description of how funds made available through grants made under section 675C(a) of the Act will be coordinated with other public and private resources; and
    - (d) A description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. ['676(b)(3)]
  - (4) To assure that the eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals. ['676(b)(4)]
  - (5) That the State and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and the State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998. ['676(b)(5)]
  - (6) To assure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community. ['676(b)(6)]
  - (7) To permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act. ['676(b)(1)]
  - (8) That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the community services block grant program will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b) of the Act. ['676(b)(8)]
  - (9) That the State and the eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations. ['676(b)(9)]
  - (10) To require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation. ['676(b)(10)]

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- (11) To secure from each eligible entity in the State, as a condition to receipt of funding, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs. ['676(b)(11)]
- (12) That the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b) of the Act. ['676(b)(12)]
- (13) To provide information describing how the State will carry out the assurances ['676(b)(13)] See Section V for State's Narrative Plan.

### B. Administrative and Financial Assurances

The State further agrees to the following administrative assurances, as required under the Act:

- (1) To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in Section 676 of the Act. ['676A(b)]
- (2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the community services block grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of unobligated funds outlined below. ['675C(a)(1) and (2)]
- (3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute the recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, non-profit organization located within the community served by the original recipient of the funds for activities consistent with the purposes of the community services block grant program. ['675C(a)(3)]
- (4) To spend no more than the greater of \$55,000 or 5 percent of its grant received under Section 675A or the State allotment received under section 675B for administrative expenses, including monitoring activities. ['675C(b)(2)]
- (5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675(c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. ['675(c)]
- (6) That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or 675B for the period covered by the State plan. ['676(a)(2)(B)]
- (7) That the chief executive officer of the State will designate, an appropriate state agency for purposes of carrying out State community services block grant program activities. ['675(a)(1)]
- (8) To hold at least one legislative hearing every three years in conjunction with the development of the State Plan ['676(a)(3)];
- (9) To make available for the public inspection each plan or revised State Plan in such a manner as will facilitate review of and comment on the plan. ['676(e)(2)];
- (10) To conduct the following reviews of eligible entities:
  - a. full onsite review of each such entity at least once during each three-year period;
  - b. an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;



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- c. follow-up reviews including prompt return visits to eligible entities and their programs, that fail to meet the goals, standards, and requirements established by the State;
  - d. other reviews, as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause. [‘678B(a)]
- (11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State Plan, to provide services under the community services block grant program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act to:
- a. inform the entity of the deficiency to be corrected;
  - b. require the entity to correct the deficiency;
  - c. offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;
  - d. at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved;
  - e. after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. [‘678C(a)]
- (12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.
- (13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the community services block grant program. [‘678D(a)(3)]
- (14) To participate, by October 1, 2001, and ensure that all eligible entities in the State participate in the Results-Oriented-Management and Accountability (ROMA) System. [678E(a)(1)]
- (15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under 678E(a)(2) of the Act.
- (16) To comply with the prohibition against use of Community Services Block Grant funds for the purchase or improvement of land, or the purchase, construction, or permanent (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678(a) of the Act.
- (17) To ensure that programs assisted by community services block grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. [‘678F(b)].
- (18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with community services block grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42U.S.C.6101et seq.) or with respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 1974 (29U.S.C.12131 et seq.) shall also apply to any such program or activity. [‘678F(c)]
- (19) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the community

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services block grant program on the basis that the organization as a religious character; and not to require a religious organization to alter its form of internal government except as provided under 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the community services block grant program.[‘679]

### **C. Other Administrative Certifications**

The State also certifies the following:

- (1) To provide assurance that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of community services block grant program funds;
- (2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee. The State further agrees that it will require the language of this certification be included in any subawards, which contain provisions for children’s services and that all subgrantees shall certify accordingly.

\*Signature (indicates the sign off of assurances in previous Section IV)

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Jim Byard, Jr., Director  
Alabama Department of Economic and Community Affairs

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Date



## V. The Narrative State Plan

### A. Administrative Structure

#### (1) State Administrative Agency

The Alabama Department of Economic and Community Affairs was created by the Legislature in 1983 to consolidate a range of economic-planning and federal grant programs under one agency. The department's mission is to build better Alabama communities through a broad range of grants, incentives and programs aimed at community development.

The creation of ADECA brought five separate state offices under one roof: the Office of State Planning, the Department of Energy, Law Enforcement Planning Agency, Office of Highway and Traffic Safety and the Office of Employment and Training. The purpose of this consolidation was to "encourage comprehensive and coordinated planning and programming of economic and community affairs."

ADECA provides a single location where local governments and non-profit agencies can come for assistance with community and economic development issues. Working together, the divisions and programs of ADECA focus available resources to address the many challenges that confront Alabama communities.

Through the years, ADECA has been responsible for a diverse range of programs that support economic development, infrastructure construction, law enforcement operations, workforce development, enhancement of community life, energy conservation, recreation and more. These programs have the common purpose of strengthening the capacity of communities to develop economically, improving the quality of life of Alabama citizens.

To manage ADECA, the Legislature provided for a Director who serves at the pleasure of the Governor. The department is divided into divisions that are managed by division chiefs hired under the state merit system. Each year, the department's staff of about 200 administers more than \$200 million in federal and state funds.

There are seven divisions that make up ADECA:

- The Community and Economic Development Division oversees Community Development Block Grants which support local efforts to attract and prepare for new or expanding industries, rehabilitate neighborhoods, provide water and sewer service or fund other infrastructure improvements that support business development or enhance the quality of life.

This division also oversees grants to increase outdoor recreational opportunities through the construction of new trails and park features. Grants from the Appalachian Regional Commission encourage economic development and improve the quality of life of Alabamians living within 37 North Alabama counties considered part of the Appalachian mountain range. Community Service Block Grants help thousands of low-income residents achieve a better quality of life. Delta Regional Authority Grants help encourage the development of new jobs and help with community improvements in a rural region that includes 20

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counties in south Alabama. The Connecting Alabama Broadband Initiative is focused on expanding the availability of high-speed Internet in underserved rural areas of the state.

- The Office of Workforce Development Division focuses on career development and job training programs as it partners with employers to encourage economic development and prepare workers for stable and higher paying jobs. OWD coordinates federal job training programs that help companies identify skilled workers and give Alabamians the tools they need to further their careers.
- The Energy Division promotes energy efficiency and manages programs to reduce energy expenditures, encourage use of alternative energy sources, and help low-income families with heating and cooling costs. The division administers loan programs that assist local governments and state industries to install energy efficiency measures.
- The Law Enforcement and Traffic Safety Division - federal funding for victims' services, law enforcement, juvenile justice, and traffic safety programs. It provides support for drug task forces, domestic violence units, child advocacy centers, and programs to help children avoid drugs and violence. The division also promotes the use of seat belts and combats impaired driving by funding increased patrols and public awareness campaigns such as Click It or Ticket and the Yellow Dot programs.
- The Office of Water Resources administers programs for river-basin management, river assessment, water-supply assistance, water conservation, and water-resources development. The division also administers floodplain management in the state, overseeing the federal flood insurance program and updating flood insurance maps. OWR provides technical advice and analysis in support of any litigation relating to water interests shared with other states.
- The Surplus Property Division sells surplus property from state agencies that participate in the state property program. It also sells federal surplus property allocated to the state from military bases and federal agencies. State, county, and local governments and many non-profit organizations are given first opportunity to purchase the property, often with significant savings to their budgets.
- The Communications and Information Division handles ADECA's public information and public relations needs, serving as the contact for citizens and the news media. The division prepares and distributes media releases about grants and other departmental activities, prepares publications and graphic arts projects, and serves as the state's liaison to the U.S. Census Bureau.

### **(2) Eligible Entities**

There are currently 21 eligible entities in the State of Alabama. Low-income persons in all of Alabama's 67 counties are served by these 21 eligible entities.

- (a) A list of eligible entities is included in Appendix F.
- (b) A map showing the counties covered by each eligible entity is included in Appendix G.

### **(3) Distribution and Allocation of Funds**

Alabama Code § 11-96-1 through § 11-96-6 currently requires ADECA to provide 95% of its CSBG funds to the eligible entities. Proposed distribution of CSBG Funds for FY 2015 and FY 2016 (These levels are based on FY 2014 CSBG award). See Appendix H

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### B. Description of Criteria and Distribution Formula

CSBG Funds will be distributed through 21 eligible entities in accordance with both the Alabama Code and the CSBG Act utilizing the current poverty guidelines and the 2010 census data. As stated, current law requires that 95 percent of the allocation be passed through low-income persons in accordance with poverty guidelines.

### C. Description of Distribution and Use of Restricted Funds

95 percent of the FY 2015 and FY 2016 CSBG funds will be distributed to the State's 21 eligible entities. The eligible entities are required to use the CSBG funds for the purposes stated within the CSBG Act. See Appendix H for a listing of agencies and proposed funding levels. The CSBG funds are awarded to eligible entities on a 15 month basis (additional 3 months if needed); therefore the State does not anticipate the recapture and redistribution of CSBG funds.

<b>Fund Category</b>	<b>FY 2015/2016 Proposed Allocations</b>
Restricted (eligible entities)	11,580,709
Discretionary	0
Administrative (5%)	609,507
<b>Total CSBG</b>	<b>12,190,216</b>

### D. Description of Distribution and Use of Discretionary Funds

Due to the current language in Alabama Code § 11-96-1, there are no discretionary funds for the State to use.

### E. Description of Use of Administrative Funds

Section 675(b)(2) of the CSBG Act specifies that no state may use more than the greater of \$55,000 or five percent of its grant or allotment for administration, to include monitoring activities. ADECA will retain five percent to be used for monitoring, technical assistance, training of State and eligible entity staff, invoice review and indirect costs. See Appendix I for the CSBG Program's complete budget.

The State does not have a Charity Tax Credit Program.

### F. State Community Services Program Implementation

#### (1) Program Overview

The following information was provided to the State by eligible entities in a meeting held at the Alabama Center for Commerce Building, 401 Adams Avenue, Montgomery, Alabama. The meeting announcement and sign-in sheets are attached in Appendix J.



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Each eligible entity submits a Community Action Plan to the CSBG unit as part of the contracting process. A meeting was held on July 22, 2014, with community action agency staff to provide an overview of the new Community Action Plan (CAP) packet.

Eligible entities will submit a one year CAP for FY 2015 which will include plans that identify the community needs based on current Community Needs Assessment. The CAP will also address causes of the identified needs, gaps in services available to address the needs, existing resources in the community, strategies or programs to address the need and Results Oriented Management and Accountability (ROMA) national goals and performance indicators impacted by the interventions. The entities will also develop implementation plans for the program or strategy that is identified in their plan. As part of the plan, eligible entities must:

- (a) Include information regarding their facilities and service delivery system.
- (b) Identify the types of organizations they use to link services to clients and coordinate/leverage funding to meet the needs of clients, including city and county governments, state agencies, faith-based organizations, and other non-profits.
- (c) Describe the process they utilize to establish and maintain links to avoid duplication of services to low-income individuals within their service area.
- (d) Describe how the agency will use CSBG funds to support specific community and/or neighborhood-based initiatives related to the purpose of CSBG.
- (e) Describe the programs that are provided by the agency, directly or through a referral, which help to reduce or eliminate barriers to initial or continuous employment for low-income persons. Entities must also describe how they will coordinate the provision of employment and training activities with local workforce investment systems under the Workforce Investment Act of 1998.
- (f) Provide a description of the strategy to respond to an emergency situation and how they will provide, on an emergency basis, supplies and services that may be necessary to counteract conditions of starvation and malnutrition among low-income individuals
- (g) Describe how the agency plans to address the needs of youth in low-income communities through youth development programs.
- (h) Describe how the agency plans to address the needs of seniors in low-income communities.

### **(2) Community Needs Assessment**

The State will secure from each eligible entity in the State, as a condition to receipt of funding, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs (676(b)(11)). The State has conducted workshops for agency staff on the process of conducting community needs assessment and strategic planning.

A comprehensive community needs assessment (CNA) must be conducted by each agency at least every three years. The assessments must be reviewed and updated annually or when major changes occur within that agency's geographic service area (i.e., loss of major employer, natural

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disaster, etc.) Copies of the comprehensive CNAs and annual updates must be submitted to the CSBG unit.

### **(3) Tripartite Board**

Alabama's 21 CSBG eligible entities administer their CSBG programs under the direction and exclusive control of a tripartite governing board that fully participates in the development, planning, implementation, and evaluation of the program to serve low-income communities. Each of these boards was established in accordance with Alabama Code § 11-96-3 (1994) and the CSBG Act as amended.

*“(a) PRIVATE NONPROFIT ENTITIES —*

*“(1) BOARD — In order for a private, nonprofit entity to be considered to be an eligible entity for purposes of section 673(1), the entity shall administer the community services block grant program through a tripartite board described in paragraph (2) that fully participates in the development, planning, implementation, and evaluation of the program to serve low-income communities.*

*“(2) SELECTION AND COMPOSITION OF BOARD — The members of the board referred to in paragraph (1) shall be selected by the entity and the board shall be composed so as to assure that —*

*“(A) 1/3 of the members of the board are elected public officials, holding office on the date of selection, or their representatives, except that if the number of such elected officials reasonably available and willing to serve on the board is less than 1/3 of the membership of the board, membership on the board of appointive public officials or their representatives may be counted in meeting such 1/3 requirement;*

*“(B)(i) not fewer than 1/3 of the members are persons chosen in accordance with democratic selection procedures adequate to assure that these members are representative of low-income individuals and families in the neighborhood served; and*

*“(ii) each representative of low-income individuals and families selected to represent a specific neighborhood within a community under clause (i) resides in the neighborhood represented by the member; and*

*“(C) the remainder of the members are officials or members of business, industry, labor, religious, law enforcement, education, or other major groups and interests in the community served.*

Tripartite board requirements are reviewed and documented during the monitoring process. On a monthly basis, CSBG program monitors review the agency's board information in FACSPRO, our internet-based tracking system, for compliance with policy. The monitoring tool, used by the CSBG program monitors during on-site reviews contains extensive questions related to board roles. If findings are found during the on-site review, a letter documenting the findings and outlining the actions needed to correct the findings is sent to the board chairperson and a copy is sent to the executive director.

### **(4) State Charity Tax Program**

The State of Alabama does not have a state charity tax program.



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### (5) Programmatic Assurances

Through their Community Action Plan and their annual CSBG IS Report, Alabama's community action agencies are required to provide information about how their programs, services, and activities align with one or more of the assurances listed below.

- (a) Assurance '676(b)(1): Funds made available through the grant or allotment will be used:
1. To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families to enable families and individuals:
    - (i) To remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a state program carried out under Part A of Title IV of the Social Security Act);

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none"><li>• Case Management</li><li>• Family Support</li><li>• Family/Individual Counseling Programs</li><li>• Information and Referral</li><li>• Purchase/Grants Assistance</li><li>• Family Development/Intervention</li><li>• Housing Assistance</li><li>• Community Organization</li></ul>	<ul style="list-style-type: none"><li>• Housing Assistance</li><li>• Adult Education and Literacy</li><li>• Partnerships</li><li>• Emergency Crisis Assistance</li><li>• Case Management</li><li>• Information and Referral</li><li>• Health Literacy</li><li>• Financial Management</li><li>• Transportation Programs</li><li>• Inmate Re-entry</li><li>• Child Care Assistance</li><li>• Work Related expenses</li></ul>

- (ii) To secure and retain meaningful employment;

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:



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Program Areas	Services and Activities
<ul style="list-style-type: none"> <li>• Job Counseling</li> <li>• Job Placement/Development</li> <li>• Summer Youth Jobs</li> <li>• Skills training</li> <li>• Other Employment Services</li> <li>• Employment Supports</li> <li>• Information and Referral</li> </ul>	<ul style="list-style-type: none"> <li>• Job Fairs</li> <li>• Transportation Assistance</li> <li>• Clothing Assistance</li> <li>• Information and Referral</li> <li>• Job Counseling</li> <li>• Energy Assistance</li> <li>• Skills Training</li> <li>• Adult Education and Literacy</li> <li>• Child Care</li> <li>• Health Care</li> <li>• Housing Assistance</li> <li>• Food Assistance</li> <li>• Computer Literacy</li> <li>• Credit Repair</li> <li>• Mentoring Program</li> <li>• Legal Assistance</li> <li>• Youth Entrepreneurship</li> <li>• Adult Entrepreneurship</li> <li>• Veterans' Services</li> <li>• Prison Re-entry</li> </ul>

(iii) To attain an adequate education, with particular attention toward improving literacy skills of the low-income families in the communities involved, which may include carrying out family literacy initiatives;

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none"> <li>• Counseling and Guidance</li> <li>• Public Education/Information</li> <li>• Child Care and Child Development</li> <li>• Adult Basic Education or GED Instruction</li> <li>• Other Instruction</li> <li>• Other Education Projects</li> <li>• Certification Programs</li> <li>• Information and Referral</li> </ul>	<ul style="list-style-type: none"> <li>• Counseling for Youths and Young Adults</li> <li>• Educate public about problems and solutions of poverty in their communities</li> <li>• Child Care Assistance</li> <li>• Parenting Classes</li> <li>• Tutoring</li> <li>• Adult Basic Education</li> <li>• GED Assistance</li> <li>• Transportation for Education Participants</li> <li>• Adult Day Care</li> <li>• Information and Referral</li> </ul>

(iv) To make better use of available income;

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The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none"><li>• Household Financial Counseling</li><li>• Income Tax Counseling</li><li>• Energy Conservation</li><li>• Other Projects</li><li>• Information and Referral</li></ul>	<ul style="list-style-type: none"><li>• Budget Counseling</li><li>• Credit Counseling</li><li>• Income Tax Preparation</li><li>• Energy Conservation</li><li>• Information and Referral</li><li>• Home Ownership Workshops</li><li>• Financial Literacy Classes</li></ul>

(v) To obtain and maintain adequate housing and a suitable living environment;

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none"><li>• Homeownership Counseling/Loan Assistance</li><li>• Other Housing Counseling and Landlord/Tenant Advocacy</li><li>• Home Repair/Rehabilitation</li><li>• Other Housing Projects</li><li>• Community Organization</li><li>• Information and Referral</li></ul>	<ul style="list-style-type: none"><li>• Housing Counseling</li><li>• Application Assistance</li><li>• Homeownership Counseling</li><li>• Minor Home Repairs</li><li>• Rent/Mortgage Assistance</li><li>• Develop Low-Income Housing in the Community</li><li>• Housing Rehab</li><li>• Housing Preservation</li><li>• Weatherization</li><li>• Housing Construction</li><li>• Information and Referral</li></ul>

(vi) To obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs;

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The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none"><li>• Emergency Energy Support</li><li>• Crisis Intervention</li><li>• Donated Goods/Services</li><li>• Homeless Aid</li><li>• Emergency Rent or Mortgage Assistance</li><li>• Emergency Car or Home repair</li><li>• Emergency Medical Care</li><li>• Emergency Disaster Relief</li><li>• Emergency Clothing</li><li>• Emergency Transportation</li><li>• Emergency Legal Assistance</li><li>• Emergency Food</li><li>• Other Emergency Services</li><li>• Information and Referral</li></ul>	<ul style="list-style-type: none"><li>• Fuel/Utility Assistance</li><li>• Temporary Shelter for Battered Women</li><li>• Temporary Shelter</li><li>• Rent/Mortgage Assistance</li><li>• Car Repairs</li><li>• Minor Home Repairs</li><li>• Medical Assistance</li><li>• Disaster Assistance</li><li>• Clothing Assistance</li><li>• Transportation Assistance</li><li>• Legal Assistance</li><li>• Food Vouchers/Food Boxes</li><li>• Prescription Assistance</li><li>• Emergency Storage</li><li>• Disaster Housing Repairs</li><li>• A/C and Heater Units (for elderly/disabled)</li><li>• Funeral Expense</li><li>• Mental Health Counseling</li><li>• Information and Referral</li></ul>

(vii) To achieve greater participation in the affairs of the communities involved, including the

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development of public and private grassroots partnerships with local law enforcement agencies,

local housing authorities, private foundations, and other public and private partners to –

- (I) Document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
- (II) Strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts.

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Partnerships/Coalitions	Services and Activities
<ul style="list-style-type: none"> <li>• Non-profit organizations</li> <li>• For-profit businesses</li> <li>• Faith Based Organizations</li> <li>• Head Start</li> <li>• Local Probation and Parole Offices</li> <li>• Career Centers</li> <li>• State, County and Local Governments</li> <li>• Schools and Colleges</li> <li>• Health Service Institutions</li> <li>• Financial/Banking Institutions</li> <li>• Consortiums/Collaborations</li> <li>• Law Enforcement</li> <li>• Day Care Group</li> <li>• Hospital Foundations</li> <li>• Court System</li> <li>• Legal Services</li> <li>• Mental Health Services</li> <li>• Credit Services</li> <li>• Homeless Service Providers</li> </ul>	<ul style="list-style-type: none"> <li>• Disaster Assistance</li> <li>• Emergency Assistance</li> <li>• Employment Supports</li> <li>• Inmate Re-Entry</li> <li>• Health Fairs</li> <li>• Medical Assistance</li> <li>• Housing Counseling</li> <li>• Budget Counseling</li> <li>• Child Care</li> <li>• Job Development, Job Readiness, Job Placement</li> <li>• Parenting Skills</li> <li>• Job Fairs</li> <li>• Substance Abuse Counseling</li> <li>• Transportation</li> <li>• Credit Counseling</li> <li>• Yellow DOT</li> <li>• Long-range Strategic Planning</li> </ul>

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(2) To address the needs of youth in low –income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as-

- (i) Programs for the establishment of violence free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
- (ii) After-school child care programs.

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none"><li>• Summer Youth Jobs</li><li>• Counseling and Guidance</li><li>• Other Instruction</li><li>• Summer Youth Recreation</li></ul>	<ul style="list-style-type: none"><li>• Counseling to dropouts, assistance in seeking scholarships, etc.</li><li>• Tutoring</li><li>• Yes Ambassadors</li><li>• Summer Youth Jobs</li><li>• Summer Recreation</li><li>• Clothing</li><li>• Early Head Start</li><li>• Job Readiness</li><li>• GED</li><li>• Youth Breakfast</li><li>• Youth Entrepreneurship</li><li>• Alcohol/Drug Prevention</li><li>• Job Coaching</li><li>• Scholarship Program</li><li>• Middle School Programs</li><li>• Intervention Programs (DOJ)</li><li>• Mentoring</li><li>• Youth Classes</li></ul>

(3) To make more effective use of, and to coordinate with, other programs related to the purposes of the community services block grant program (including State welfare reform efforts). The State's data system, FACSPRO, automatically generates a referral letter to the local child support office, if during intake, child support is not reported for a household with a single adult and minor children. If a household is not currently receiving benefits from Supplemental Nutrition Assistance Program (SNAP), they are referred to the local Department of Human Services office. These referrals will provide assistance for the households as they transition to self-sufficiency.



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The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Partnerships/Coalitions	Services and Activities
<ul style="list-style-type: none"> <li>• Non-profit Organizations</li> <li>• For-profit businesses</li> <li>• Faith Based Organizations</li> <li>• Head Start/Other Day Care Groups</li> <li>• Local Probation and Parole Offices</li> <li>• Career Centers</li> <li>• State, County and Local Governments</li> <li>• Schools and Colleges</li> <li>• Health Service Institutions</li> <li>• Financial/Banking Institutions</li> <li>• Statewide</li> <li>• Associations/Collaborations</li> <li>• Consortiums/Collaborations</li> <li>• WIA Boards</li> <li>• Consumer Groups</li> </ul>	<ul style="list-style-type: none"> <li>• Disaster Assistance</li> <li>• Emergency Assistance</li> <li>• Employment Supports</li> <li>• Inmate Re-Entry</li> <li>• Health Fairs</li> <li>• Medical Assistance</li> <li>• Housing Counseling</li> <li>• Budget Counseling</li> <li>• Child Care</li> <li>• Parenting Skills</li> <li>• Job Fairs</li> <li>• Job Development, Job Readiness, Job Placement</li> </ul>

(b) An assurance that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals. The State reviews, on a quarterly basis, outcomes reported for emergency services, as well as other service areas, for compliance with the submitted agency plans.

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas	Services and Activities
<ul style="list-style-type: none"> <li>• Food Pantries</li> <li>• Hot Meals</li> <li>• Garden Projects</li> <li>• Nutrition Education</li> <li>• Other Nutrition Projects</li> <li>• Information and Referral</li> </ul>	<ul style="list-style-type: none"> <li>• Food Boxes/Food Bags</li> <li>• Meals on Wheels (hot/frozen meals)</li> <li>• Supply Individuals with Garden Seed/plants</li> <li>• Education on nutrition, diet and/or food preparation</li> <li>• Food Baskets for the poor</li> <li>• Information and Referral</li> <li>• Senior Nutrition</li> <li>• Community Gardens</li> <li>• Food Vouchers</li> </ul>



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(c) Eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such service. State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Invest Act of 1998. The State's data system, FACSPRO, automatically generates a referral letter to Alabama's Career Center if, during intake, there is no income reported for an individual who is not disabled or elderly.

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Program Areas and Partnering Agencies	Services and Activities
<ul style="list-style-type: none"><li>• Job Counseling</li><li>• Job Placement/Development</li><li>• Summer Youth Jobs</li><li>• Colleges/Technical Schools</li><li>• Skills training</li><li>• Other Employment Services</li><li>• Employment Supports</li><li>• Information and Referral</li><li>• Job Planning and Coordination</li><li>• Community Organizations</li><li>• Advocacy</li><li>• Regional Commissions</li><li>• Faith-Based Organizations</li><li>• Alabama Career Centers</li><li>• State and Local Governments</li><li>• WIA Boards</li><li>• Housing Authorities</li><li>• Housing Shelters</li></ul>	<ul style="list-style-type: none"><li>• Job Fairs</li><li>• Transportation Assistance</li><li>• Clothing Assistance</li><li>• Information and Referral</li><li>• Job Counseling</li><li>• Community Outreach</li><li>• Skills Training</li><li>• Adult Education and Literacy</li><li>• Child Care</li><li>• Health Care</li><li>• Child Support</li><li>• Advocacy</li><li>• Energy Assistance</li><li>• Housing Assistance</li><li>• Food Assistance</li><li>• Energy Assistance</li></ul>

(d) The State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such communities;

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

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Program Areas and Partnering Agencies	Services and Activities
<ul style="list-style-type: none"> <li>• Emergency Energy Support</li> <li>• Crisis Intervention</li> <li>• Donated Goods/Services</li> <li>• Homeless Aid</li> <li>• Emergency Rent or Mortgage Assistance</li> <li>• Emergency Car or Home repair</li> <li>• Emergency Medical Care</li> <li>• Emergency Disaster Relief</li> <li>• Emergency Clothing</li> <li>• Emergency Transportation</li> <li>• Emergency Legal Assistance</li> <li>• Emergency Food</li> <li>• Other Emergency Services</li> <li>• Information and Referral</li> <li>• Interagency Planning and Coordination</li> <li>• Community Organizations</li> <li>• Advocacy</li> <li>• State and Local Governments</li> <li>• Non-profit Organizations</li> <li>• For-profit Businesses</li> <li>• Faith-based Organizations</li> <li>• Utility Companies</li> <li>• Healthcare Facilities/Pharmacies</li> </ul>	<ul style="list-style-type: none"> <li>• Fuel/Utility Assistance</li> <li>• Temporary Shelter for Battered Women</li> <li>• Temporary Shelter</li> <li>• Rent/Mortgage Assistance</li> <li>• Car Repairs</li> <li>• Minor Home Repairs</li> <li>• Medical Assistance</li> <li>• Disaster Assistance</li> <li>• Clothing Assistance</li> <li>• Transportation Assistance</li> <li>• Legal Assistance</li> <li>• Food Vouchers/Food Boxes</li> <li>• Shelter Assistance</li> <li>• Information and Referral</li> <li>• Prescription Assistance</li> <li>• Storage Assistance</li> </ul>

(e) The State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.

The following are examples of programs, services and activities provided by Alabama CAAs to satisfy this assurance:

Partnerships/Coalitions	Services and Activities
<ul style="list-style-type: none"> <li>• Non-profit Organizations</li> <li>• For-profit Businesses</li> <li>• Faith Based Organizations</li> <li>• Head Start</li> <li>• Local Probation and Parole Offices</li> <li>• Career Centers</li> <li>• State, County and Local Governments</li> <li>• Schools and Colleges</li> <li>• Health Service Institutions</li> <li>• Financial/Banking Institutions</li> </ul>	<ul style="list-style-type: none"> <li>• Disaster Assistance</li> <li>• Emergency Assistance</li> <li>• Employment Supports</li> <li>• Inmate Re-Entry</li> <li>• Health Fairs</li> <li>• Medical Assistance</li> <li>• Housing Counseling</li> <li>• Budget Counseling</li> <li>• Child Care</li> <li>• Job Development, Job Readiness, Job Placement</li> </ul>

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<ul style="list-style-type: none"><li>• Statewide Associations/Collaborations</li><li>• Consortiums/Collaborations</li><li>• Day Care Groups</li></ul>	<ul style="list-style-type: none"><li>• Transportation</li><li>• Parenting Skills</li><li>• Job Fairs</li></ul>
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### G. Fiscal Controls and Monitoring

#### (1) State Program Monitoring

- (a) The CSBG Unit will, at a minimum, conduct an on-site review of each eligible entity at least once during a three-year period. The review will address prior review findings, agency eligibility, governance, planning process, fiscal, audit reports, program administration, personnel, ROMA implementation, data collection, and reported performance. In addition, at least once per year, CSBG program monitors will visit each agency to offer technical assistance and do a follow-up review of any findings noted in the monitoring visit. On a monthly basis, CSBG program monitors perform a desk audit of each agency. This review consists of reviewing budgets and expenditure reports, quarterly ROMA reports, board rosters, and board meeting minutes.
- (b) An on-site review of a newly designated entity will be conducted immediately after the completion of the first six months in which such entity receives funds through the CSBG program. A subsequent visit will be conducted at the end of the first twelve months of operation.
- (c) As noted above, all eligible entities are monitored at least once during a three-year period with at least one follow-up, technical assistance visit every year. Following the on-site review, a report shall be sent to the entities' board chairperson and copied to the executive director describing any deficiencies found with corrective action needed noted and any concerns and recommendation also noted. If there are significant findings, additional follow-up visits may be conducted.
- (d) Additional on-site reviews will be conducted when specific concerns are identified that require attention or when an entity is placed on "high-risk". In addition to the on-site monitoring reviews, staff from ADECA's Audit Section performs periodic reviews in coordination with CSBG staff or at the request of ADECA's Director if other federal, state or local grants have had significant findings or have been terminated for cause.
- (e) The eligible entities are required to submit an independent audit to ADECA's Audit Section within six months after the end of their fiscal year. See Appendix K for the most recent date of the independent audit for each eligible entity.

#### (2) Corrective Action, Termination and Reduction of Funding

In the event that ADECA determines that an eligible entity fails to comply with the terms of an agreement or the State Plan, to provide services under the CSBG program or to meet appropriate standards, goals, and other requirements established by the federal and state government or ADECA policy (including performance objectives), ADECA will:

- (a) Inform the entity of the deficiency to be corrected;
- (b) Offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance was not appropriate;



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- (c) At the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan. ADECA may either approve the proposed plan or specify reasons why the proposed plan cannot be approved;
- (d) If the deficiencies are not corrected, ADECA will notify the entity of its intent to reduce or terminate funding and the opportunity for a hearing on the impending action. After providing adequate notice along with an opportunity for a hearing, in accordance with State's Eligible Entity Fair Hearing Policy and Procedure (Assurance 676(b)(8)). See Appendix L. ADECA may proceed with termination or reduction procedures.

### (3) Fiscal Controls, Audits, and Withholding

ADECA's CSBG unit requires sub-recipients to submit a monthly expenditure report and requests for reimbursements and/or advances of funds on a monthly basis. As specified in Section 678D of the Act, the State shall comply with the provisions of Chapter 75 of Title 31, United States Code (Single Audit Act) and its implementing regulation in the Office of Management and Budget (OMB) Circular A-133. The last single audit of the Alabama Department of Economic and Community Affairs was performed by the Alabama Department of Examiners of Public Accounts for fiscal year ended 09/30/13. The issue date of the audit was 09/09/11. Sub-grantees receiving funds under this title are required to have an audit annually in accordance with the ADECA Audit Policy, as amended. ADECA's Audit Section has the responsibility for the department to ensure sub-grantee audit reports are received timely and meet applicable audit standards.

This date will be updated once report is issued. Should be by mid-August

- (a) The assurance '676(b)(7);

Alabama will permit and cooperate with federal investigations undertaken in accordance with Section 678D of the Act by responding promptly to requests from the federal agency for information or other assistance.

- (b) The assurance '676(b)(8);

Any eligible entity in the State that received funding in the previous fiscal year under CSBG will not have its funding terminated or reduced below the proportional share of funding that the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b) of the Act. In complying with this assurance, the State will proceed on the advice of counsel and in adherence with the CSBG Act, the Alabama State Code and ADECA's policies and procedures.

- (c) The assurance ' 676(b)(10);

The State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation. As part of the work plan, each eligible entity is required to submit a narrative description which specifies how they intend to implement the above assurance. In addition, the State ensures compliance with the requirement through its contracting and monitoring requirements of local entities.



**H. Accountability and Reporting Requirements**

**(1) Results Oriented Management and Accountability**

The State of Alabama is complying with assurance '676(b)(12) of the Act by ensuring that all eligible entities in the State are participating in the Results Oriented Management and Accountability System (ROMA) pursuant to Section 678(b) of the Act.

There are eight certified ROMA trainers throughout the State of Alabama. ROMA trainers provide training in developing, selecting and measuring outcomes. Agencies will report ROMA outcomes for CSBG service categories every quarter.

The following table identifies the outcome measures used to measure CAA performance in promoting self-sufficiency, family stability, and community revitalization.

<b>Goal 1: Low-income people become more self-sufficient.</b>	
<b>1.1</b>	
<b>1.1 A</b>	Unemployed and obtained a job
<b>1.1 B</b>	Employed and maintained a job for at least 90 days
<b>1.1 C</b>	Employed and obtained an increase in employment income and/or benefits
<b>1.1 D</b>	Achieved "living wage" employment and/or benefits
<b>1.2</b>	
<b>1.2 A</b>	Obtained skills/competencies required for employment
<b>1.2 B</b>	Completed ABE/GED and received certificate or diploma
<b>1.2 C</b>	Completed post-secondary education program and obtained certificate or diploma
<b>1.2 D</b>	Enrolled children in before or after school programs
<b>1.2 E</b>	Obtained care for child or other dependent
<b>1.2 F</b>	Obtained access to reliable transportation and/or driver's license
<b>1.2 G</b>	Obtained health care services for themselves or family member
<b>1.2 H</b>	Obtained and/or maintained safe and affordable housing
<b>1.2 I</b>	Obtained food assistance
<b>1.2 J</b>	Obtained non-emergency LIHEAP energy assistance
<b>1.2 K</b>	Obtained non-emergency WX energy assistance
<b>1.2 L</b>	Obtained other non-emergency energy assistance (State/local/private energy programs. Do NOT include LIHEAP or WX)
<b>1.3</b>	
<b>1.3.A</b>	Number and percent of participants in tax preparation programs who qualified for any type of Federal or State tax credit and the expected aggregate dollar amount of credits
<b>1.3.B</b>	Number and percent of participants who obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments
<b>1.3.C</b>	Number and percent of participants who were enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings
<b>1.3.D</b>	Number and percent of participants demonstrating ability to complete and maintain a budget for over 90 days

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<b>1.3.E</b>	Number and percent of participants opening an Individual Development Account (IDA) or other savings account
<b>1.3.F</b>	Number and percent of participants who increased their savings through IDA or other savings accounts and the aggregated amount of savings
<b>1.3.G</b>	Number and percent of participants capitalizing a small business with accumulated IDA or other savings
<b>1.3.H</b>	Number and percent of participants pursuing post-secondary education with accumulated savings
<b>1.3.I</b>	Number and percent of participants purchasing a home with accumulated savings
<b>1.3.J</b>	Number and percent of participants purchasing other assets with accumulated savings
<b>Goal 2: The conditions in which low-income people live are improved.</b>	
<b>2.1</b>	
<b>2.1 A</b>	Jobs created, or saved, from reduction or elimination in the community
<b>2.1 B</b>	Accessible "living wage" jobs created, or saved, from reduction or elimination in the community
<b>2.1 C</b>	Safe and affordable housing units created in the community
<b>2.1 D</b>	Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy
<b>2.1 E</b>	Accessible safe and affordable health care services/facilities for low-income people created, or saved from reduction or elimination
<b>2.1 F</b>	Accessible safe and affordable child care or child development placement opportunities for low-income families created, or saved from reduction or elimination
<b>2.1 G</b>	Accessible before-school and after-school program placement opportunities for low-income families created, or saved from reduction or elimination
<b>2.1 H</b>	Accessible new or expanded transportation resources, or those that are saved from reduction or elimination, that are available to low-income people, including public or private transportation
<b>2.1 I</b>	Accessible or increased educational and training placement opportunities, or those that are saved from reduction or elimination, that are available for low-income people in the community, including vocational, literacy, and life skill training, ABE/GED, and post secondary education
<b>2.2</b>	
<b>2.2 A</b>	Increases in community assets as a result of a change in law, regulation or policy, which results in improvements in quality of life and assets
<b>2.2 B</b>	Increase in the availability or preservation of community facilities
<b>2.2 C</b>	Increase in the availability or preservation of community services to improve public health and safety
<b>2.2 D</b>	Increase in the availability or preservation of commercial services within low-income neighborhoods
<b>2.2 E</b>	Increase in or preservation of neighborhood quality-of-life resources
<b>2.3</b>	

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<b>2.3A</b>	Number of community members mobilized by Community Action that participate in community revitalization and anti-poverty initiatives
<b>2.3B</b>	Number of volunteer hours donated to the agency
<b>2.4</b>	
<b>2.4 A</b>	Jobs created at least in part by ARRA funds
<b>2.4 B</b>	Jobs saved at least in part by ARRA funds
<b>Goal 3: Low-income people own a stake in their community.</b>	
<b>3.1</b>	
<b>3.1</b>	Total number of volunteer hours donated by low-income individuals to Community Action
<b>3.2</b>	
<b>3.2 A</b>	Number of low-income people participating in formal community organizations, government, boards or councils that provide input to decision-making and policy setting through Community Action efforts
<b>3.2 B</b>	Number of low-income people acquiring businesses in their community as a result of Community Action assistance
<b>3.2 C</b>	Number of low-income people purchasing their own home in their community as a result of Community Action assistance
<b>3.2 D</b>	Number of low-income people engaged in non-governance community activities or groups created or supported by Community Action
<b>Goal 4: Partnerships among supporters and providers of services to low-income people are achieved.</b>	
<b>4.1</b>	
<b>4.1</b>	Number of organizations, both public and private, that Community Action actively works with to expand resources and opportunities in order to achieve family and community outcomes
	# Non-Profit
	# Faith Based
	# Local Government
	# State Government
	# Federal Government
	# For-Profit Business or Corporations
	# Consortiums/Collaboration
	# Housing Consortiums/Collaboration
	# School Districts
	# Institutions of post secondary education/training
	# Financial/Banking Institutions
	# Health Service Institutions
	# State wide associations or collaborations
<b>Number of Organizational Partnerships (Total):</b>	
<b>Goal 5: Agencies increase their capacity to achieve results.</b>	
<b>5.1</b>	
<b>5.1</b>	Number of human capital resources available to Community Action that increase agency capacity to achieve family and

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	community outcomes, as measured by one or more of the following:
	Number of Certified-Community Action Professionals (C-CAP)
	Number of Nationally Certified ROMA Trainers
	Number of Family Development Trainers
	Number of Child Development Trainers
	Number of staff attending trainings
	Number of board members attending trainings
	Hours of staff in trainings
	Hours of board members in trainings
<b>Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.</b>	
<b>6.1</b>	
<b>6.1 A</b>	Senior Citizens
<b>6.1 B</b>	Individuals with Disabilities
<b>6.2</b>	
<b>6.2 A</b>	Emergency Food
<b>6.2 B</b>	Emergency fuel or utility payments funded by LIHEAP or other public and private funding sources
<b>6.2 C</b>	Emergency Rent or Mortgage Assistance
<b>6.2 D</b>	Emergency Car or Home Repair
<b>6.2 E</b>	Emergency Temporary Shelter
<b>6.2 F</b>	Emergency Medical Care
<b>6.2 G</b>	Emergency Protection from Violence
<b>6.2 H</b>	Emergency Legal Assistance
<b>6.2 I</b>	Emergency Transportation
<b>6.2 J</b>	Emergency Disaster Relief
<b>6.2 K</b>	Emergency Clothing
<b>6.3</b>	
<b>6.3.A</b>	Infants and children obtain age-appropriate immunizations, medical, and dental care
<b>6.3.B</b>	Infant and child health and physical development are improved as a result of adequate nutrition
<b>6.3.C</b>	Children participate in pre-school activities to develop school readiness skills
<b>6.3.D</b>	Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade
<b>6.3.E</b>	Youth improve health and physical development
<b>6.3.F</b>	Youth improve social/emotional development
<b>6.3.G</b>	Youth avoid risk-taking behavior for a defined period of time
<b>6.3.H</b>	Youth have reduced involvement with criminal justice system
<b>6.3.I</b>	Youth increase academic, athletic, or social skills for school success
<b>6.3.J</b>	Parents and other adults learn and exhibit improved parenting skills
<b>6.3.K</b>	Parents and other adults learn and exhibit improved family functioning skills



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<b>6.4</b>	
<b>6.4 A</b>	Enrolled children in before and after school programs
<b>6.4 B</b>	Obtained care for child or other dependent
<b>6.4 C</b>	Obtained access to reliable transportation and/or driver's license
<b>6.4 D</b>	Obtained health care services for themselves or family member
<b>6.4 E</b>	Obtained and/or maintained safe and affordable housing
<b>6.4 F</b>	Obtained food assistance
<b>6.4 G</b>	Obtained non-emergency LIHEAP energy assistance
<b>6.4 H</b>	Obtained non-emergency WX energy assistance
<b>6.4 I</b>	Obtained other non-emergency energy assistance
<b>6.5</b>	
<b>6.5 A</b>	Food Boxes
<b>6.5 B</b>	Pounds of Food
<b>6.5 C</b>	Units of Clothing
<b>6.5 D</b>	Rides Provided
<b>6.5 E</b>	Information and Referral Calls
<b>6.5F</b>	Health Related Service
<b>6.5G</b>	Bags of School Supplies
<b>6.5H</b>	Water

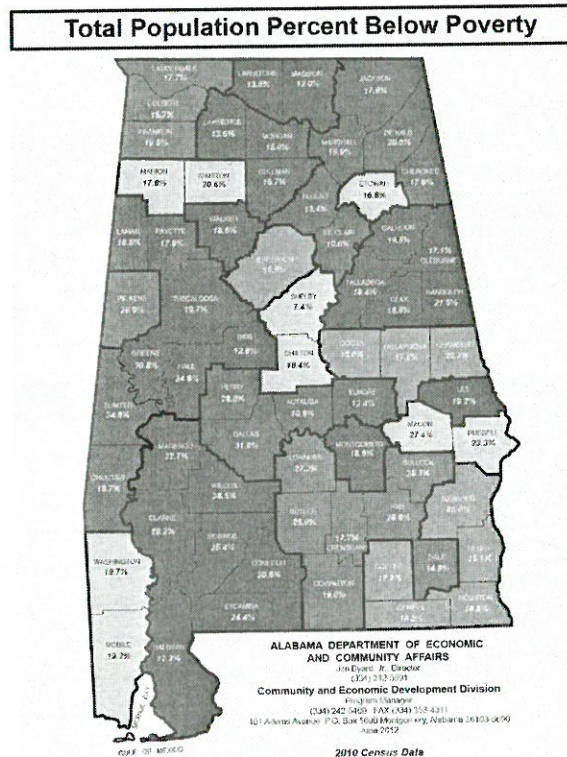
The agencies have been mandated to utilize the FACSPRO software system. All programs entered into the system have action plans. These action plans contain interventions that must be completed by selecting the appropriate National Performance Indicator, which coincides with the six national goals. National Performance Indicators can also be reported on through Mass Entry, Volunteer Entry, In-Kind Entry and Agency Information within FACSPRO. FACSPRO will pull the data that is entered into a ROMA Quarterly Report. Agency staff verifies the information in the report and submit it to ADECA. The software system works in the same manner to also create the annual IS Report.

The State will continue to engage in activities to build the agency's capacity to collect and aggregate agency level outcome data and report on ROMA measures as required by the Department of Health and Human Services, Office of Community Services.

### **(2)Annual Report: Section 678E(a)(2)**

Alabama is struggling with a higher than national poverty rate of 17.4%, according to the 2010 census data. The number of Alabamians living below the national poverty level is 806,920 of which 278,150 are children under the age of 18. This makes the number of individuals living in poverty in Alabama more than the combined population of Alabama's four largest cities, Birmingham, Mobile, Montgomery, and Huntsville (766,531). Of Alabama's 67 counties, there are 15 that have over 25% of the population living below the federal poverty level.

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Community action agencies have been key players in the war on poverty since the 1960s. Using the results of community needs assessments conducted by the community action agencies in the state of Alabama, the priority issues and conditions that contribute to poverty within the service areas of the agencies are identified and plans are developed to help the areas address those needs. The State Plan presents an overview of the programs and services individuals and families can receive through the community action agencies. The Alabama Department of Economic and Communities Affairs' CSBG unit provides the following description of needs as a foundation for the State Plan. An overview of the conditions reported in FY 2011 is presented for those individuals receiving services from community action programs.

For the 10 year period from 2000-2010, U.S. Census population estimates grew by 6.53% in Alabama, increasing from 4,334,919 in 2000 to 4,637,747 in 2010. For the same 10 year period, the individuals living below the poverty level increased by 13%, from 698,097 in 2000 to 806,920 in 2010.

Alabama complies with this requirement through the annual submission of the National Association for State Community Services (NASCS) Information Systems (IS) Survey. The latest compiled annual report, FY 2013, was submitted to NASCS in March 2013.

## a) Performance Objectives

The performance objectives for the eligible entities in Alabama are reflected through the six ROMA goals and the sixteen national performance indicators. The State requires each eligible entity to submit in its work plan, performance targets for the number of persons they plan to serve, transition out of poverty, and /or achieve outcomes associated with each program activity.

## b) Program Accomplishments and Activities

Program accomplishments and activities covered a wide area including, but not limited to, those that addressed education, emergency services, health, housing, income management, linkages, nutrition,

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economic development and self-sufficiency. Approximately 242,000 clients benefited from these services. See section D of Alabama's IS Report, Appendix L.

- c) Comparison of Planned and Actual Expenditures for Prior Fiscal Year
1. Planned Distribution of Funds to Eligible Entities (as shown in Previous State Plan)
  2. Planned Distribution of Funds for Discretionary Purposes (as shown in previous State plan) vs. Actual Expenditures. The state does not retain discretionary funds. Alabama requires a ninety-five percent pass through of CSBG funds to the eligible entities.
  3. Planned Use of Funds for State Administration (as shown is previous State plan) vs. Actual Expenditures.

	Proposed FY 2014 (included carryover from FY 2013)	Actual FY 2013
(1) Eligible Entities	\$ 16,237,740	\$ 11,310,255
(2) Discretionary Funds	\$ -	\$ -
(3) Administrative Costs	\$ 690,747	\$ 651,816
TOTAL	\$ 16,925,487	\$ 11,962,071

- d) Profile of Participants Served (Number and characteristics of clients served).  
As part of the State's Annual CSBG IS Report, client characteristics data is collected and reported by the 21 community action agencies. The information in the report reflects one or more characteristics of individual clients and households. The characteristics of clients are shown in section G of the IS report located in Appendix L.
- e) Statistical Report on CSBG Program Services  
The Community Services Block Grant (CSBG) is a specially designed funding stream for community action agencies. In Alabama, 95% of the funds received are used for initiatives created by the community action agencies' local tripartite board. The boards are made up of local elected officials, community leaders, and low-income residents of the agencies' service areas.

The programs that are developed and administered with CSBG funds are unique to the needs of each community action agency. ADECA's CSBG unit is charged with oversight of the funds and monitors the agencies to ensure their compliance with regulations and their effectiveness.

In FY 2013, Alabama's community action agencies were allocated \$11,015,866. CSBG funds, combined with other federal and state funds and local and private resources, were a total allocation of \$181,654,893 for Alabama's twenty-one community action agencies. These funds were used to help:

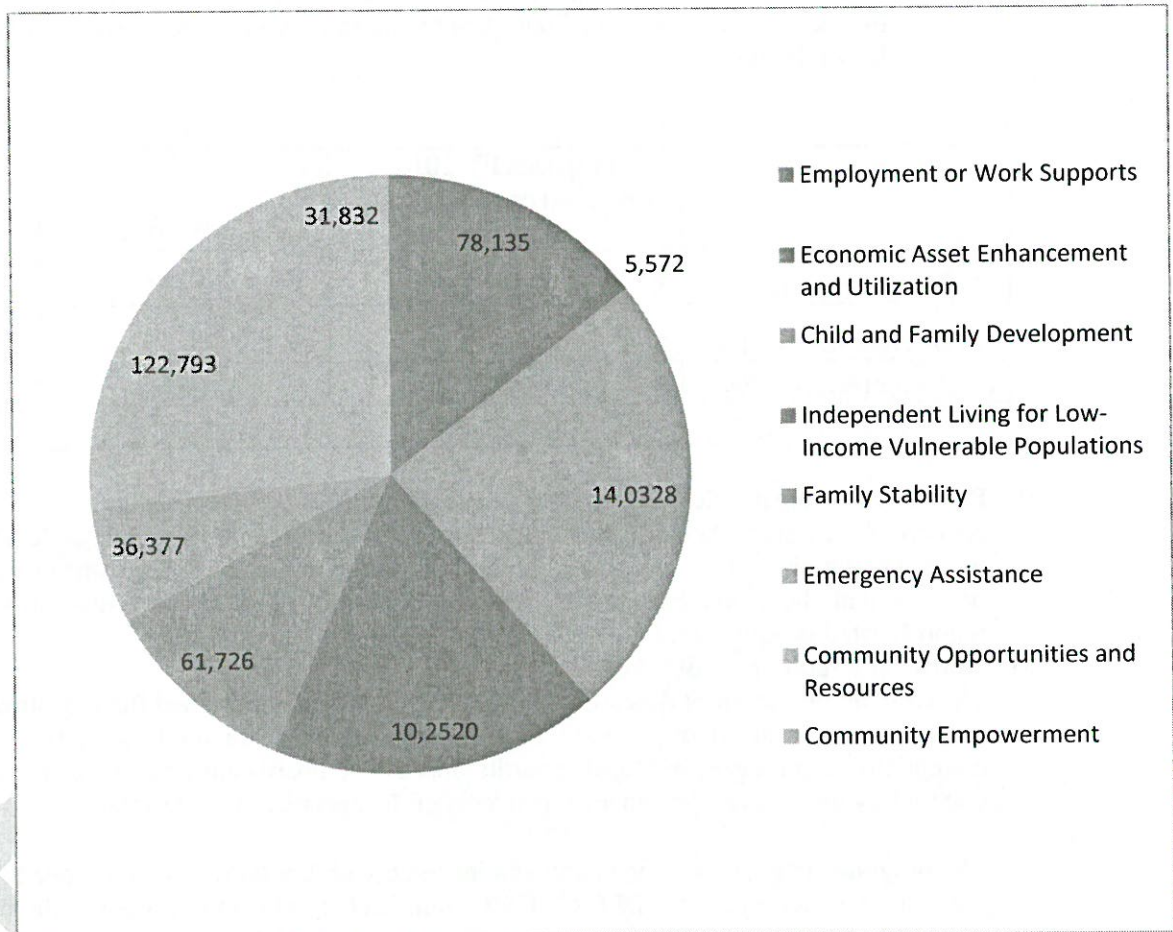
- 241,745 individuals
- 85,470 children under the age of 18
- 50,122 seniors, 55 and over
- 52,398 individuals with disabilities

Community action agencies provide services to the most vulnerable population to help them become self-sufficient. Of the households served in FY 2013, more than 77% were below the Federal Poverty Guidelines and more than 91% were under 125% of the poverty line.



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The chart below shows that there were 579,283 performance outcomes for Alabama achieved during FY 2013. The numbers are taken from the ROMA report, Appendix M, which is based on the six national goals and outcome efforts for Employment, Emergency Services, Health, Housing, Income Management, Linkages, Nutrition, Economic Development, Self-sufficiency and Special/Innovative Programs.



(f) Due to requirements of the Code of Alabama 1975, Section 11-96-1 through Section 11-96-6 (1194), ADECA retains no discretionary funds to provide formal training. However, the following training/technical assistance was provided during FY2013 by ADECA and/or the Community Action Agency Association:

- i. Board Training – Training for the board of directors is provided at the request of the executive director or board chairperson. This training provides information on the tri-partite board, board responsibilities and functions, state expectations of board members, requirements for board meetings and board minutes, board/executive director relationship, etc.
- ii. ROMA Training – ROMA training is offered throughout the year and at the request of the agencies. This training focuses on the history of ROMA, its implementation and the core components of ROMA.
- iii. Strategic Planning – Training for the board members and executive directors to outline the planning process for successful strategic planning.



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- iv. FACSPRO Training – This training is provided at the request of the agency. It covers all aspects of the software including customer intake, programs, action plans, ROMA/IS reports and National Performance Indicators.
- v. CSBG IS Training – Partnered with the Community Action Agency Association to have NASCSP conduct CSBG IS training for all of the agencies. This training provided agencies with a better understanding of how they should be reporting their numbers on the report.
- vi. CAA Association Annual Conference – The Association’s conference is held annually with a variety of keynote speakers, breakout sessions, and networking opportunities. Examples of topics are: finance, weatherization, moving from poverty to self-sufficiency and FACSPRO, among others.
- vii. CAA Association annual Board of Directors’ Retreat offers specific training for new and existing Executive Directors consisting of leadership, management and other training addressing new laws and requirements for community action agencies
- viii. Case Management training for support staff of community action agencies consist of effective communication skills and proper customer/client interaction.
- ix. Performance training for management and support staff includes NPI data collection, performance measurement and outcomes, tools, tactics and strategies to help agencies improve targeting skills.

### **I. Organizational Standards Implementation**

Alabama will be incorporating the Federal Organization Standards into its’ CSBG monitoring tool. The monitoring tool was presented at the Community Action Agency Association of Alabama annual conference on May 24, 2014. Comments on the tool were accepted through June 13, 2014. The monitoring tool was emailed to all executive directors on June 27, 2014. The State will begin using the monitoring tool on October 1, 2014. A copy of the implementation schedule and monitoring tool is included in Appendix P.



**Appendix A**  
**Code of Alabama 1975**  
**Sections 11-96-1 through 11-96-6**





- Chapter 96 COMMUNITY ACTION AGENCIES.
  - Section 11-96-1 Appropriation of funds.
  - Section 11-96-2 Allocation of appropriated funds in proportion to size of poverty level population served.
  - Section 11-96-3 Community action agency; defined; governing board; biannual audit; delegation of responsibility; service area; consultation with neighborhood-based organizations; powers and duties.
  - Section 11-96-4 Limited purpose agencies; defined; governing board; bi-annual audit; delegation of responsibility; service area; consultation and planning.
  - Section 11-96-5 Community action program defined; components of program; administration.
  - Section 11-96-6 Continuation of certain community action agencies.

#### **Section 11-96-1**

##### **Appropriation of funds.**

Ninety-five percent of all moneys received by the State of Alabama through the Community Services Block Grant Act, Section 671 of the Omnibus Budget Reconciliation Act of 1981 shall be appropriated to community action agencies and certain other agencies as defined in Section 11-96-3 to carry out programs under Section 11-96-4 herein. The Legislature is authorized to appropriate any other funds that might become available for the purposes as described in this chapter.

*(Acts 1982, No. 82-494, p. 818, §1.)*

#### **Section 11-96-2**

##### **Allocation of appropriated funds in proportion to size of poverty level population served.**

Funds appropriated for the purpose of Section 11-96-1 shall be allocated annually to community action agencies in proportion to the size of the poverty level population served by the agency when compared to the size of the poverty level population and available resources in the state. "Poverty level population" means the number of people whose household income is below the official poverty line established by the United States Director of the Office of Management and Budget.

*(Acts 1982, No. 82-494, p. 818, §2.)*

**Section 11-96-3**

**Community action agency; defined; governing board; biannual audit; delegation of responsibility; service area; consultation with neighborhood-based organizations; powers and duties.**

(a) A "community action agency" for the purposes of this chapter shall include the following:

(1) A county, a municipality or a combination thereof;

(2) A private nonprofit agency which has been designated as an "eligible entity" under Section 673(1) of the Community Services Block Grant Act; or

(3) A private nonprofit agency newly established by local ordinance in compliance with subsection (b) of this section.

(b) Each community action agency shall administer its programs through a governing board consisting of 15 to 51 members.

(1) One-third of the members of the board shall be elected or appointed public officials, currently holding office or their representatives. These members shall be designated or approved by the chief elected local government official or officials of the jurisdiction which they represent.

(2) At least one-third of the members shall be persons chosen in accordance with democratic selection procedures adequate to assure that they are representative of the poor in the area served by the agency.

(3) The other members shall be officials or members of business, industry, labor, religious, welfare, education, housing, or other major groups and interests in the community. Each member of the board selected to represent a specific geographic area within an appointed community must reside in the area represented.

Procedures for selection of board members shall be submitted to county commissions within the community action agency service area for their review. This procedure may be set out in the bylaws governing the community action agency.

(c) Each community action agency receiving funds under this chapter shall prepare a biannual audit to be made available to the public, to state and local government.

(d) If a community action agency delegates responsibility for major policy determinations with respect to the character, funding, extent, and administration of the budgeting for programs to be carried on in a particular geographic poverty or low-income area within the community in a subsidiary board, council, or similar agency, that board, council, or agency shall be broadly representative of the area.

(e) The specific service area of any community action agency must be specific in its charter. No community action agency service areas shall overlap; nor shall any new service area include less than 50,000 total population. This population requirement shall not affect existing community action agencies, nor affect the authority of an existing agency to expand into an area not already served by a community action program.

(f) Each community action agency shall consult neighborhood-based organizations composed of residents of the area of members of the groups served to assist the agency in planning, conduct, and evaluation of components of the community action program.

(g) A community action agency shall:

(1) Plan systematically for an effective community action program;

(2) Encourage agencies engaged in activities related to the community action program to administer assistance on a common or cooperative basis;

(3) Initiate and sponsor projects responsive to needs of the poor which are not otherwise being met, with particular emphasis on providing central or common services that can be drawn upon by a variety of related programs;

(4) Establish effective procedures by which the poor and area residents concerned will be enabled to influence the character of programs affecting their interests;

(5) Join with and encourage business, labor, and other private groups and organizations to undertake activities which will result in the additional use of private resources and capabilities, and otherwise carry out its purposes as approved by its governing board.

*(Acts 1982, No. 82-494, p. 818, §3.)*

#### **Section 11-96-4**

#### **Limited purpose agencies; defined; governing board; bi-annual audit; delegation of responsibility; service area; consultation and planning.**

(a) A limited purpose agency qualifying for funds from the community services administration block grant is a community-based and -operated program which:

(1) Was designated as an eligible entity to receive funds from the community services block grant program under Public Law 97-115, the "Older Americans Act Amendments of 1981" or administer a head start program.

(2) Performs the functions of community action agencies, but which is not technically a community action agency.



(3) Received funds in fiscal year 1981 under Section 221 and Section 222(a) or under Title IV of the Economic Opportunity Act of 1964.

(b) Each limited purpose agency shall administer its programs through a governing board consisting of 15 to 50 members.

This board shall be representative of the population of its service area, and representative of the poor, as well as representatives from the business community and other agencies.

(c) Each limited purpose agency receiving funds under this chapter shall prepare a biannual audit to be made available to the public, and to state and local government.

(d) If a limited purpose agency delegates responsibility for major policy determinations with respect to the character, funding, extent, and administration of the budgeting for programs to be carried on in a particular geographic poverty or low-income area within the community in a subsidiary board, council, or similar agency, that board, council, or agency shall be broadly representative of the area.

(e) The specific area of any limited purpose agency must be specified in its charter. No limited purpose agency may service any area that overlaps with the service areas of a community action agency unless the limited purpose agency is operating a program that is clearly statewide in its scope.

(f) Each limited purpose agency shall adhere to the principles of consultation and planning as defined for community action agencies and defined under Section 11-96-3.

*(Acts 1982, No. 82-494, p. 818, §4.)*

#### **Section 11-96-5**

#### **Community action program defined; components of program; administration.**

(a) A community action program is a community-based and -operated program which:

(1) Includes or is designated to include a sufficient number of projects of components to provide, in sum, a range of services and activities having a measurable and potentially major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem;

(2) Has been developed, and which organizes and combines its component projects and activities, in a manner appropriate to carry out all the purposes of Sections 11-96-2 and 11-96-4; and

(3) Conforms to any other supplementary criteria as may be prescribed by federal or state laws or regulations.



(b) The components of a community action program may include programs designated to assist participants, including the elderly poor, to:

- (1) Secure and retain meaningful employment;
- (2) Attain an adequate education;
- (3) Make better use of available income;
- (4) Obtain and maintain adequate housing and a suitable living environment;
- (5) Obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including the need for health services, nutritious food, housing, employment, and energy related assistance;
- (6) Remove obstacles and solve problems which block the achievement of self-sufficiency;
- (7) Achieve greater participation in the affairs of the community; and,
- (8) Make more frequent and effective use of other programs related to the purposes of Sections 11-96-2 and 11-96-4.

(c) Components of a community action program may be administered by the community action agency when consistent with sound and efficient management and applicable law, or by other agencies. There may be projects eligible for assistance under Section 11-96-2, or projects assisted from other public or private sources; and they may be either specially designed to meet local needs or designed pursuant to the eligibility standards of a state or federal program providing assistance to a particular kind of activity which will help in meeting those needs.

*(Acts 1982, No. 82-494, p. 818, §5.)*

#### **Section 11-96-6**

##### **Continuation of certain community action agencies.**

Any community action agency, whether public or private which has been designated as such at the time of passage of this chapter and which has received funding as an "eligible entity" under Section 673(1) of the Community Services Block Grant Act shall maintain such designation and shall continue to receive any funds designated for community action programs as long as those agencies comply with the provisions of this chapter and all other applicable state or federal laws or regulations.

Provided, however, that this section shall not be construed to affect the eligibility of newly established community action agencies designated to serve areas not already served by a community action program to receive funding under the community action programs.

*(Acts 1982, No. 82-494, p. 818, §6.)*

**Appendix B**  
**Code of Alabama 1975**  
**Sections 41-23-1 through 41-23-8**





- Article 1 General Consideration.
  - Section 41-23-1 Creation; composition; transfer of functions, etc., to department.
  - Section 41-23-2 Implementation of duties and functions by employees in classified service; salaries.
  - Section 41-23-3 Transfer of appropriations to department.
  - Section 41-23-4 Appointment of director; term of office; salary; qualifications; planning and programming by department.
  - Section 41-23-5 Establishment of divisions; appointment of division chiefs; oath of office; restrictions on employment; directors of merged agencies abolished; purpose of chapter.
  - Section 41-23-6 Promulgation of rules and regulations.
  - Section 41-23-7 Legislative oversight commission

#### **Section 41-23-1**

##### **Creation; composition; transfer of functions, etc., to department.**

There is hereby created and established the Department of Economic and Community Affairs within the Office of the Governor and directly under his supervision and control. The Department of Economic and Community Affairs shall consist of: the Governor, the Office of State Planning and Federal Programs, the Alabama Department of Energy, the Alabama Law Enforcement Planning Agency, the Office of Highway and Traffic Safety, the Office of Employment and Training, and the Office of Water Resources as presently created by and provided for in Sections 41-9-205 through 41-9-214, Sections 41-6A-1 through 41-6A-11, Sections 41-8A-1 through 41-8A-4, Sections 41-8A-8 through 41-8A-10, and Sections 41-8A-12 through 41-8A-13, 32-4-1 through 32-4-7, Executive Order No. 34, 1980, and Sections 9-10B-1 through 9-10B-30, respectively, and in accordance with the applicable federal laws. All respective functions, duties, responsibilities, obligations, property rights, appropriations, employees, property, and supplies as provided by said sections, and whether accruing or vesting, are hereby transferred to and vested in the Department of Economic and Community Affairs.

*(Acts 1983, 2nd Ex. Sess., No. 83-194, p. 363, §1; Acts 1993, No. 93-44, p. 78, §1.)*

#### **Section 41-23-2**

##### **Implementation of duties and functions by employees in classified service; salaries.**

Present employees in the classified service of the state Merit System within each agency transferred in Section 41-23-1 whose job classifications are not abolished hereinafter, shall continue with the Department of Economic and Community Affairs in such functions deemed necessary to carry out the duties and responsibilities of the Department of Economic and Community Affairs. Other employees necessary to implement the duties and functions of the Department of Economic and Community Affairs may be employed subject to the provisions of

the state Merit System laws and shall be entitled to the same rights and benefits thereunder. Salaries set for such employees shall not exceed the salary set by law for executive department heads.

Nothing herein shall be construed to prevent or preclude the removal of an employee in a manner provided by this article, or for cause in a manner provided by law.

*(Acts 1983, 2nd Ex. Sess., No. 83-194, p. 363, §2.)*

#### **Section 41-23-3**

##### **Transfer of appropriations to department.**

All appropriations heretofore or hereafter made to: The Office of State Planning and Federal Programs, the Alabama Department of Energy, the Alabama Law Enforcement Planning Agency, the State Manpower Planning Council (CETA), the Office of Highway and Traffic Safety, and the Office of Employment and Training are hereby consolidated and transferred to the Department of Economic and Community Affairs.

*(Acts 1983, 2nd Ex. Sess., No. 83-194, p. 363, §3.)*

#### **Section 41-23-4**

##### **Appointment of director; term of office; salary; qualifications; planning and programming by department.**

(a) The Governor shall appoint a chief administrative officer to be designated as Director of the Department of Economic and Community Affairs. Such officer shall serve at the pleasure of the Governor at a salary to be set in the same manner and with the same limitations as otherwise provided by law for executive department heads. The director of the said department shall be a member of such boards, councils and commissions, as they relate to his authority under the provisions of this article, and as required and currently authorized under the various federal programs and as approved by the Governor.

(b) The Governor through the Department of Economic and Community Affairs shall encourage comprehensive and coordinated planning and programming of economic and community affairs.

*(Acts 1983, 2nd Ex. Sess., No. 83-194, p. 363, §4.)*

#### **Section 41-23-5**

#### **Establishment of divisions; appointment of division chiefs; oath of office; restrictions on employment; directors of merged agencies abolished; purpose of chapter.**

(a) The Director of the Department of Economic and Community Affairs, with the approval of the Governor, may establish such division or divisions as may, in his discretion, be reasonably necessary for the administration and enforcement of any law, rule or regulation with which the department is charged or the performance of any of its functions or duties. Each division in the department shall be headed by and be under the direction, supervision and control of an officer who shall be designated as the chief of such division. All chiefs of divisions shall be appointed by the director of said department, with the approval of the Governor. Before entering upon the discharge of their duties, such chiefs of divisions shall take the constitutional oath of office. Each of such officers shall devote his full time to his official duties and shall hold no other lucrative position while serving as such. The offices or positions of director of any of the merged departments or agencies are hereby abolished.

(b) It is one of the purposes of this article to coordinate, into one department, the functions of the Office of State Planning and Federal Programs, the Alabama Department of Energy, Alabama Law Enforcement Planning Agency, the Office of Highway and Traffic Safety, and the Office of Employment and Training or any successor thereto. There is hereby established the following divisions: The Office of State Planning and Federal Programs, the Alabama Department of Energy, Alabama Law Enforcement Planning Agency, the Office of Highway and Traffic Safety, and the Office of Employment and Training. The functions of each division shall be administered by a division chief who shall be full-time and salaried as now provided by law. Each division chief shall report to and be under the supervision of the Director of the Department of Economic and Community Affairs.

*(Acts 1983, 2nd Ex. Sess., No. 83-194, p. 363, §5.)*

#### **Section 41-23-6**

#### **Promulgation of rules and regulations.**

The Director of the Department of Economic and Community Affairs may prescribe such reasonable rules and regulations for the conduct of its business and made in accordance with the Alabama Administrative Procedure Act.

*(Acts 1983, 2nd Ex. Sess., No. 83-194, p. 363, §6.)*

#### **Section 41-23-7**

**Legislative oversight commission.**

- (a) There is hereby created the Department of Economic and Community Affairs Legislative Oversight Commission to consist of the Chairman and Deputy Chairman of the Senate Committee on Finance and Taxation, three members of the Senate to be appointed by the Lieutenant Governor, the Chairman and Vice-chairman of the House Ways and Means Committee, and three members of the House of Representatives to be appointed by the Speaker of the House.
- (b) The commission shall hold an organizational meeting within 30 days after this bill is enacted, and shall elect a chairman and vice-chairman from among its members. Thereafter, the commission shall meet at least two times annually, and additional meetings shall be held at the call of the chairman or upon the request of six or more members. Such meetings shall be held with the Director of the Department of Economic and Community Affairs in attendance.
- (c) The commission shall adopt its own rules of procedure for the transaction of business, and a majority of the members present shall constitute a quorum for the purpose of transacting business or performing authorized duties.
- (d) Each member of the commission shall be entitled to his or her regular legislative compensation and per diem and travel expenses for each day he or she attends a meeting or conducts business of the commission, and such compensation and expenses shall be paid from the funds appropriated for the use of the Legislature.
- (e) The commission shall monitor and evaluate the management and operations of the



**Appendix C**

**Director Letter of Appointment**  
**and**  
**ADECA Organizational Chart**



OFFICE OF THE GOVERNOR

ROBERT BENTLEY  
GOVERNOR



STATE CAPITOL  
MONTGOMERY, ALABAMA 36130

(334) 242-7100  
FAX: (334) 242-0937

## STATE OF ALABAMA

January 18, 2011

Jim Byard  
227 South Washington Street  
Prattville, AL 36067

Dear Jim:

As Governor of Alabama, it is my pleasure to appoint you as ADECA Director at an annual salary of [REDACTED]. This appointment is effective today, January 18, 2011. Thank you for your willingness to serve the people of Alabama in this capacity.

As our new administration begins, I look forward to working together to meet and exceed the expectations of Alabamians, to govern and live by a strict adherence of ethical standards, and be humbled in our roles as public servants.

Sincerely,

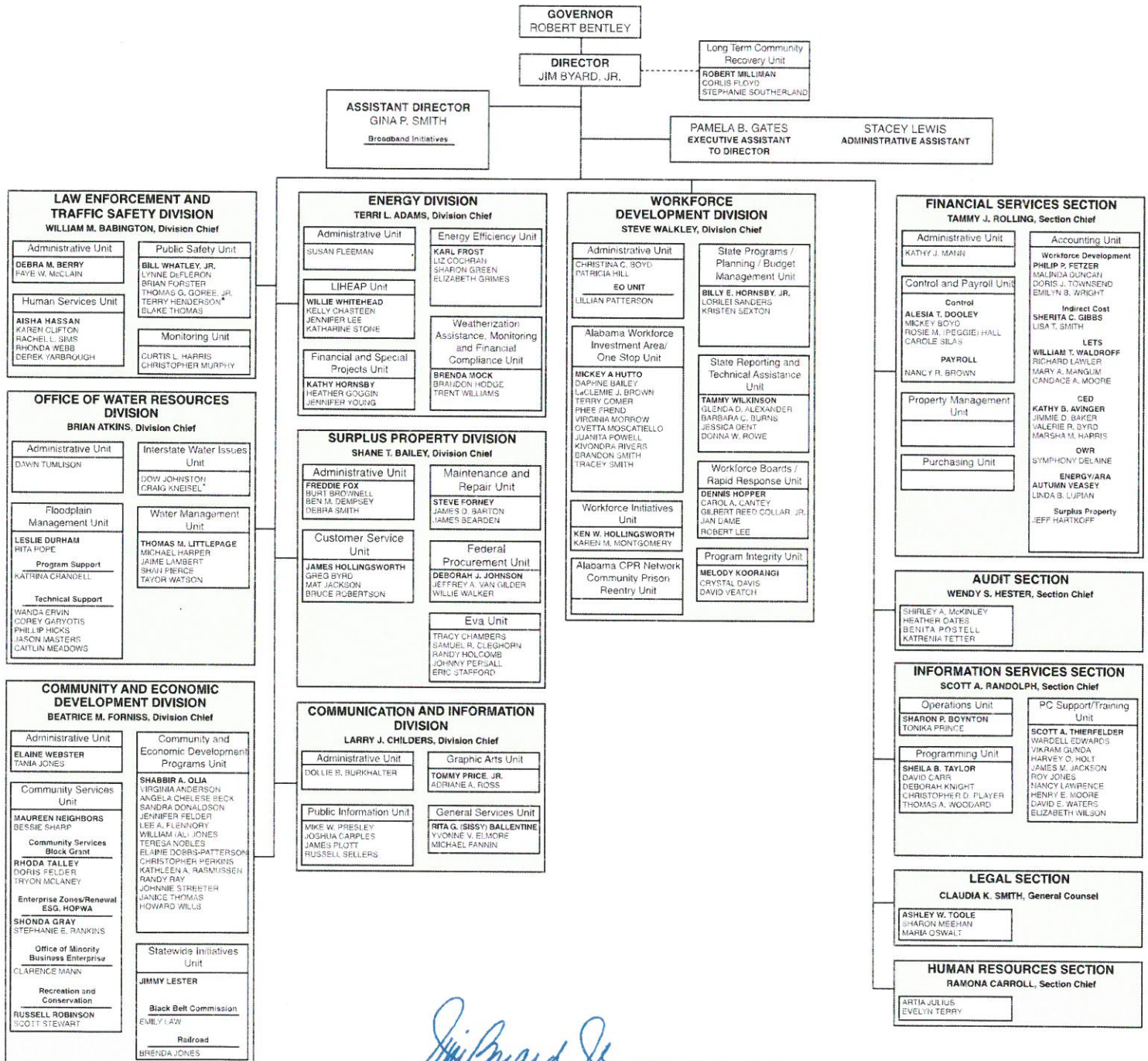
  
Robert Bentley

c: Ms. Becca Crawford  
Ms. Jackie Graham  
The Honorable Chuck Malone

~~REDACTED~~



# ALABAMA DEPARTMENT OF ECONOMIC AND COMMUNITY AFFAIRS



Contractor\*

APPROVED

*Jim Byard Jr*  
JIM BYARD, JR.  
DIRECTOR

JULY 1, 2014



**Appendix D**  
**Public Hearing**  
**July 28, 2014**







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**Posted-By:** Alabama Department of Economic and Community Affairs

**Meeting-Date:** 7/28/2104

**Meeting-Time:** 10:00 AM

**Meeting-Location:**

Alabama Center for Commerce room 342  
401 Adams Ave.  
Montgomery, AL 36104

**Phone-Number:** 334-353-3643

**Meeting-Type:** regular

**Submission-datetime:** 7/21/2014 3:36:22 PM

**Notice History:**

Submitted on 7/21/2014 3:36:22 PM

**Notice:**

In accordance with the Community Services Block Grant Act, the Alabama Department of Economic and Community Affairs will sponsor a public hearing to explain eligibility rules, increase public awareness and secure input to the state's administration of the Community Services Block Grant Program funds. All concerned individuals are invited to attend and present any comments or questions regarding the proposed use and distribution of the funds for the period covered by the Community Services Block Grant state plan.

Anyone planning to attend who has special accessibility needs may contact Bessie Sharp at (334) 353-3151 in advance of the hearing date so that reasonable and necessary attempts can be made for accommodations.

Parking will be available in the Alabama Center for Commerce Parking Deck. It should be accessed from the Decatur Street entrance by using the code 2235\*. For additional information, contact Rhoda Talley at (334) 242-5412 or the Alabama Department of Economic and Community Affairs Community Services Unit, P.O. Box 5690, Montgomery, AL 36103-5690.

[Statements/Policies](#) | [info.alabama.gov](#) | [alabama.gov](#) | [Contact Us](#)



## Talley, Rhoda

---

**From:** Talley, Rhoda  
**Sent:** Monday, July 21, 2014 3:18 PM  
**To:** 'Autauga County Administrator'; 'Baldwin county Administrator'; 'Barbour County Chief Administrative Officer'; 'Bibb County Administrator'; 'Blount County Administrator'; 'Bullock County Administrator'; 'Butler County Administrator'; 'Calhoun County Commission'; 'Chambers County Manager'; 'Cherokee County Administrator'; 'Chilton County Administrator'; 'Choctaw County Treasurer'; 'Clarke County Administrator'; 'Clay County CFO'; 'Cleburne County Administrator'; 'Coffee County Administrator'; 'Colbert County Administrator'; 'Conecuh County Administrator'; 'Coosa County Administrator'; 'Covington County Administrator'; 'Crenshaw County Administrator'; 'Cullman County Administrator'; 'Dale County Manager'; 'Dallas County Administrator'; 'DeKalb County Administrator'; 'Elmore County Administrator'; 'Escambia County Administrator'; 'Etowah County CEO'; 'Fayette County Administrator'; 'Franklin County Administrator'; 'Geneva County Administrator'; 'Greene County CFO'; 'Hale County Administrator'; 'Henry County Administrator'; 'Houston County Administrator'; 'Jackson County Administrator'; 'Jefferson County CFO'; 'Lamar County Administrator'; 'Lauderdale County Administrator'; 'Lawrence County Administrator'; 'Lee County Administrator'; 'Limestone County Administrator'; 'Lowndes County Administrator'; 'Macon County Administrator'; 'Madison County Administrator'; 'Marengo County Administrator'; 'Marion County Administrator'; 'Marshall County Administrator'; 'Mobile County Administrator'; 'Monroe County Chief Administrator'; 'Montgomery County Administrator'; 'Morgan County Chief Administrator'; 'Perry County Chief Administrator'; 'Pickens County Administrator'; 'Pike County Administrator'; 'Randolph County Administrator'; 'Russell Count Administrator'; 'Shelby County Manager'; 'St. Clair County Administrator'; 'Sumter County Administrator'; 'Talladega County Administrator'; 'Tallapoosa County Administrator'; 'Tuscaloosa County Administrator'; 'Walker County Administrator'; 'Washington County Administrator'; 'Wilcox County Administrator'; 'Winston County Administrator'  
**Subject:** CSBG Public Hearing Notice  
**Attachments:** 2014 Public Hearing - 7-2014.pdf

Good Afternoon,

I am the Community Services Block Grant (CSBG) Program Manager for the State of Alabama.

In accordance with the Community Services Block Grant Act (42 U.S.C. 9901 et. seq.) as amended, Section 676 (a)(2)(B), the Alabama Department of Economic and Community Affairs will sponsor a public hearing to explain eligibility rules, increase public awareness, and secure input to the State's administration of the Community Services Block Grant Program funds. The public hearing is scheduled to be held at the location indicated below:

Alabama Center for Commerce Building  
401 Adams Avenue, Room 342  
Montgomery, Alabama 36104  
Monday, July 28, 2014  
10:00 a.m.

I am requesting that you post the attached memorandum in your local courthouses with other required notices.

If you have any questions please give me a call.

Thanks in advance,

Rhoda Talley

Rhoda Talley  
CSBG Program Manager  
Community and Economic Development Division  
Alabama Department of Economic and Community Affairs  
401 Adams Avenue | Montgomery, Alabama 36104  
334.242.5412 (office)  
334.324.0805 (mobile)  
[www.adeca.alabama.gov](http://www.adeca.alabama.gov)





OFFICE OF THE GOVERNOR

**ROBERT BENTLEY**  
GOVERNOR



**STATE OF ALABAMA**


ALABAMA DEPARTMENT OF ECONOMIC  
AND COMMUNITY AFFAIRS

**JIM BYARD, JR.**  
DIRECTOR

July 18, 2014

**MEMORANDUM**

TO: Interested Parties  
Community Action Agencies

FROM: Jim Byard, Jr., Director   
Alabama Department of Economic and Community Affairs

SUBJECT: Community Services Block Grant Program  
Public Hearing

In accordance with the Community Services Block Grant Act (42 U.S.C. 9901 et. seq.) as amended, Section 676 (a)(2)(B), the Alabama Department of Economic and Community Affairs will sponsor a public hearing to explain eligibility rules, increase public awareness, and secure input to the State's administration of the Community Services Block Grant Program funds. All concerned individuals are invited to attend and present any comments or questions regarding the proposed use and distribution of the funds for the period covered by the Community Services Block Grant State Plan.

The Community Services Block Grant Program's public hearing is scheduled to be held at the location indicated below:

Alabama Center for Commerce Building  
401 Adams Avenue, Room 342  
Montgomery, AL 36104  
Monday, July 28, 2014  
10:00 a.m.

Anyone planning to attend the public hearing who has special or disabled accessibility needs may contact Bessie Sharp at (334) 353-3151, in advance of the hearing date so that reasonable and necessary attempts can be made for accommodations.

Parking will be available in the Alabama Center for Commerce parking deck. It should be accessed from the Decatur Street entrance by using the code 4435\*. For additional information, please contact Rhoda Talley at (334) 242-5412 or the Alabama Department of Economic and Community Affairs, Community Services Unit, Post Office Box 5690, Montgomery, Alabama 36103-5690.



## **Appendix E**

### **Legislative Hearing**

### **ADECA Legislative Oversight Commission**

**August 7, 2014**







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**Posted-By:** Alabama Department of Economic and Community Affairs

**Meeting-Date:** 8/7/2014

**Meeting-Time:** 2:30 PM

**Meeting-Location:**

11 S. Union Street  
Room 418  
Montgomery, AL 36130

**Phone-Number:** 334-353-3643

**Meeting-Type:** special/called

**Submission-datetime:** 6/26/2014 9:14:36 AM

**Notice History:**

Submitted on 6/25/2014 2:02:58 PM  
Revised on 6/26/2014 9:14:36 AM

**Notice:**

ADECA personnel will present the ADECA Oversight Review Committee with an overall ADECA update, in addition to discussing CSBG's annual plan and the LESO program.



**Appendix F**  
**Alabama Community Action**  
**Agency Directory**



<b>Community Action Agency</b>	<b>Address</b>	<b>Service Area (Counties)</b>
<b>1 Community Action Agency of Northwest Alabama, Inc.</b>	745 Thompson St. Florence, AL 35630	Colbert, Franklin, Lauderdale
<b>2 Community Action Partnership Huntsville/Madison &amp; Limestone Counties, Inc.</b>	3516 Stringfield Rd, NW P.O. Box 3975 Huntsville, AL 35810	Limestone, Madison
<b>3 Walker County Community Action Agency, Inc.</b>	644 19th St. West P.O. Box 421 Jasper, AL 35502	Walker
<b>4 Community Action of Etowah County, Inc.</b>	624 Broad Street P.O. Box 1888 Gadsden, AL 35901	Etowah
<b>5 Community Action Agency of Talladega, Clay, Randolph, Calhoun, and Cleburne Counties, Inc.</b>	136 Court St. North P.O. Box 278 Talladega, AL 35161	Talladega, Clay, Randolph, Calhoun, Cleburne
<b>6 Eleventh Area of Alabama Opportunity Action Committee, Inc.</b>	#5 Village Square, Hwy. 31 P.O. Box 559 Clanton, AL 35046	Shelby, Chilton
<b>7 Community Action Committee, Inc. Chambers-Tallapoosa-Coosa</b>	170 South Broadnax St. Dadeville, AL 36853	Chambers, Tallapoosa, Coosa
<b>8 Montgomery Community Action Committee and Community Development Corporation, Inc.</b>	1066 Adams Ave. Montgomery, AL 36104	Montgomery
<b>9 Organized Community Action Program, Inc.</b>	507 North Three Notch St.  Troy, AL 36081-2120	Bullock, Butler, Covington, Crenshaw, Dale, Pike, Lowndes
<b>10 Community Action Agency of Northeast Alabama, Inc.</b>	1481 McCurdy Ave. South P.O. Box 1487 Rainsville, AL	Blount, Cherokee, DeKalb, Jackson, Marshall, St. Clair
<b>11 Marion-Winston Counties Community Action Committee, Inc.</b>	372 7th Ave. SW P.O. Box 1716 Hamilton, AL 35570	Marion, Winston
<b>12 The Jefferson County Committee for Economic Opportunity</b>	300 Eighth Ave. West Birmingham, AL 35204	Jefferson
<b>13 Mobile Community Action, Inc.</b>	461 Donald Street Mobile, AL 36617	Mobile, Washington
<b>14 Macon Russell Community Action Agency, Inc.</b>	102 Lakeview Rd. Tuskegee, AL 36083	Macon, Russell
<b>15 Pickens County Community Action Committee, and Community Development Corporation Inc.</b>	71 Lakeside St. P.O. Box 348 Carrollton, AL 35447	Pickens
<b>16 Human Resource Development Corporation</b>	101 George Wallace Drive P.O. Box 31-1407 Enterprise, AL 36331	Barbour, Coffee, Geneva, Henry, Houston
<b>17 Community Action Agency of South Alabama</b>	26440 Pollard Rd. P.O. Box 250 Daphne, AL 36526	Baldwin, Escambia, Clarke, Monroe, Conecuh, Marengo, Wilcox
<b>18 Community Action Partnership of North Alabama, Inc.</b>	1909 Central Parkway SW Decatur, AL 35601	Cullman, Lawrence, Morgan
<b>19 Community Services Programs of West Alabama, Inc.</b>	601 Black Bears Way Tuscaloosa, AL 35401	Bibb, Fayette, Greene, Hale, Lamar, Tuscaloosa, Choctaw, Sumter
<b>20 Community Action Agency of Central Alabama</b>	504 Autauga St. P.O. Box 967 Wetumpka, AL 36902	Elmore, Autauga, Dallas, Perry
<b>21 Alabama Council on Human Relations, Inc.</b>	319 West Glenn Ave. P.O. Box 409 Auburn, AL 36831	Lee





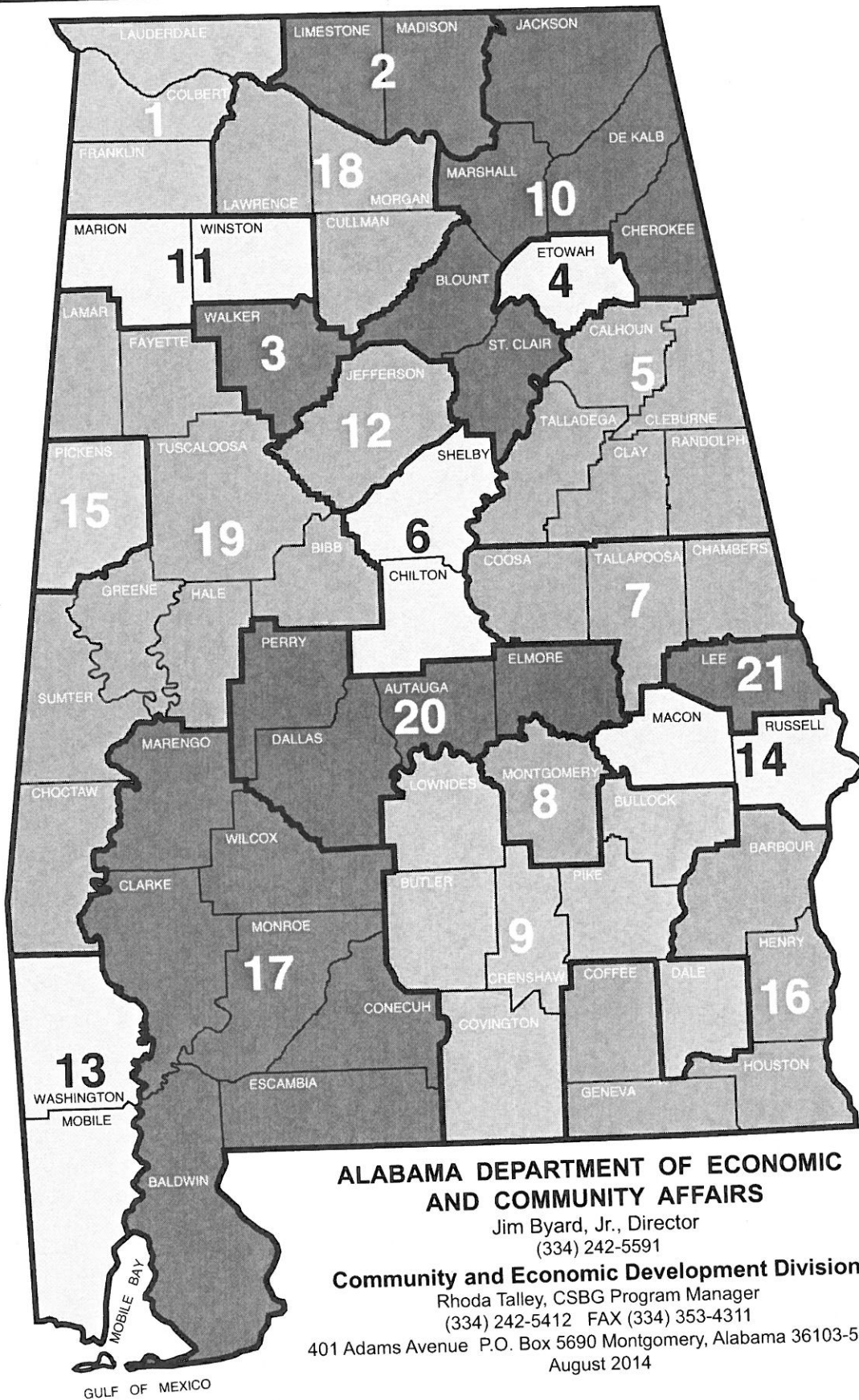
**Appendix G**

**Alabama Community Action Agency**

**Geographic Areas Served**



# ALABAMA COMMUNITY ACTION PROGRAMS



## ALABAMA DEPARTMENT OF ECONOMIC AND COMMUNITY AFFAIRS

Jim Byard, Jr., Director  
(334) 242-5591

### Community and Economic Development Division

Rhoda Talley, CSBG Program Manager  
(334) 242-5412 FAX (334) 353-4311  
401 Adams Avenue P.O. Box 5690 Montgomery, Alabama 36103-5690  
August 2014





**Appendix H**  
**Community Action Agencies**  
**Proposed Funding Level**  
**FY 2015**



# 2015 Proposed Grant Amounts

GRANT #	SUBGRANTEE NAMES	ALLOCATED AMOUNT
CS-024-15	Alabama Council on Human Relations, Inc.	367,588
CS-020-15	Community Action Agency of South Alabama	828,450
CS-008-15	Chambers-Tallapoosa-Coosa Community Action Committee, Inc.	234,369
CS-007-15	Eleventh Area of Alabama Opportunity Action Committee, Inc.	317,557
CS-023-15	Community Action Agency of Central Alabama	457,873
CS-005-15	Community Action of Etowah County, Inc.	253,274
CS-018-15	Human Resource Development Corporation	552,427
CS-002-15	Community Action Partnership of Huntsville, Madison & Limestone Counties, Inc.	704,331
CS-013-15	Jefferson County Committee for Economic Opportunity	1,465,714
CS-016-15	Macon-Russell Community Action Agency, Inc.	250,256
CS-012-15	Marion-Winston Counties Community Action Committee, Inc.	151,153
CS-014-15	Mobile Community Action, Inc.	1,183,168
CS-009-15	Montgomery Community Action Committee, Inc.	608,435
CS-021-15	Community Action Partnership of North Alabama, Inc.	517,503
CS-011-15	Community Action Agency of Northeast Alabama, Inc.	903,303
CS-001-15	Community Action Agency of Northwest Alabama, Inc.	445,814
CS-010-15	Organized Community Action Program, Inc.	537,893
CS-017-15	Pickens Community Action Committee, Inc.	78,285
CS-006-15	Community Action Agency of Talladega, Clay, Randolph, Calhoun, & Cleburne Counties	680,948
CS-003-15	Walker County Community Action Agency, Inc.	182,675
CS-022-15	Community Service Programs of West Alabama, Inc	859,693

**TOTAL SUBGRANTEE AWARDS      11,580,709**

**STATE ADMIN (5%)      609,507**

**TOTAL GRANT AMOUNT      12,190,216**

**NOTE: Based on same funding as FY 2014**



**Appendix I**

**Alabama CSBG Program**

**FY 2015 Proposed Budget**





# FY 2015 Proposed Budget

<u>Budget Category</u>	<u>FY15 CSBG EST BUDGET</u>
Personnel	190,000.00
Employee Benefits	80,000.00
Travel, In-State	8,000.00
Travel, Out-of-state	5,000.00
Rentals & Leases	4,000.00
Utilities & Communication	3,000.00
Professional Services	8,000.00
Supplies & Operating Expenses	64,000.00
Transportation Equipment Operations	4,000.00
Grants & Benefits	<b>11,580,706.00</b>
Equipment	-
Indirect Cost	243,510.00
<b>FY 2013 CSBG Estimated Grant Total</b>	<b>12,190,216.00</b>

95%	11,580,705.20
5%	609,510.80
	<hr/> 12,190,216.00

Budget amount is based on FY 2014 CSBG allocation



**Appendix J**  
**State Plan Meeting**  
**Alabama Center for Commerce Building**  
**July 22, 2014**



**State Plan/Agency CAP Meeting  
July 22, 2014  
1:00 PM  
Alabama Center for Commerce  
401 Adams Avenue, 7<sup>th</sup> Floor Auditorium  
Montgomery, AL 36104**

Introduction – Maureen Neighbors

Welcome – Jim Byard, Jr.

State Plan Overview – Rhoda Talley

Assurances – Doris Felder  
Tryon McLaney

State Plan Questions/Comments

Agency CAP Overview – Rhoda Talley

Agency CAP Questions/Comments





# 2015 State Plan/Agency CAP Meeting


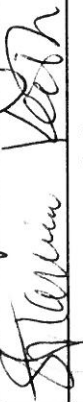






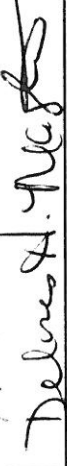




Alabama Center for Commerce  
401 Adams Avenue  
Montgomery, Alabama  
7th Floor Auditorium  
1:00 PM - 4:00 PM

Last Name	First Name	Agency	Signature
Aldridge	Sandra	ACHR	<i>Sandra E. Aldridge</i>
Boleware	David	CAC-Chambers-Tallapoosa-Coosa	<i>David Boleware</i>
Boykin	Cassandra	Community Action Agency of South Al.	
Burns	Janet	ACHR	<i>Janet Burns</i>
Burton	Cynthia	CSP of West Alabama	<i>Cynthia N. Burton</i>
Davis	Charity	Eleventh Area of Alabama	<i>Charity Davis</i>
Davis	Dr. Marquita	JCCEO	<i>Marquita Davis</i>
Dunlap	Marion	CAA of Central Alabama	<i>Marion Dunlap</i>
Fleming	Jeff	Marion-Winston CAA	<i>Jeff Fleming</i>
Gaither	Amanda	CAATCRCC	<i>Amanda Gaither</i>
Gilbert	Ron	Community Action Association of Al.	<i>Ron Gilbert</i>
Gradford	Dr. Leroy	CAP Huntsville/Madison and Limestone Count	<i>Dr. Leroy Gradford</i>
Greene	Karinne	HRDC	
Hinton	Cindy	OCAP	<i>Cindy Hinton</i>
Ingram	Lafrench	Pickens Co. CAC	<i>Lafrench Ingram</i>



# 2015 State Plan/Agency CAP Meeting

Alabama Center for Commerce  
401 Adams Avenue  
Montgomery, Alabama  
7th Floor Auditorium  
1:00 PM - 4:00 PM

Jones	Benjamin	Montgomery Community Action	
Keith	Stephanie	CAATCRCC	
Kine	Michele	Eleventh Area of Alabama	
Langford	Melissa	Community Action Agency of South Al.	
Lea	Carrie	CAA of Northeast Al.	
Lewis	Gary	Community Action of Etowah Co.	
Lincoln	Laurie	CAP of North Alabama	
Livingston	Kim	OCAP	
Loyd	Sylvia	Community Action of Etowah Co.	
Marshall	Linda	Mobile CAA	
Martin	Angela	Community Action Association of Al.	
Mastin	Delores	CAP Huntsville/Madison and Limestone Count	
McGhee	Julie	Montgomery Community Action	
Mims	Viola	JCCEO	
Moultry	Wanda	OCAP	
Prince	Emma	Mobile CAA	



# 2015 State Plan/Agency CAP Meeting

Alabama Center for Commerce  
401 Adams Avenue  
Montgomery, Alabama  
7th Floor Auditorium  
1:00 PM - 4:00 PM

Pringle	R.W.	Montgomery Community Action	
Pullum	Angel	HRDC	
Ray	Kim	Montgomery Community Action	<i>K. Ray</i>
Rowser	Edith	Community Action of Etowah Co.	<i>Edith Rowser</i>
Schulz	Michael	Mobile CAA	<i>B. Michael Schulz</i>
Smith	Patrick	Macon-Russell CAA	<i>Patrick Smith</i>
Speegle	Alison	CAP of North Alabama	<i>Alison Speegle</i>
Standridge	Jackie	CSP of West Alabama	
Stephens	Sontonia	CSP of West Alabama	<i>Sontonia Stephens</i>
Tatum	Deidre	Walker Co. CAA	<i>Deidre Tatum</i>
Tubbs	Michael	CAP of North Alabama	<i>Michael Tubbs</i>
Weary	Alice	Montgomery Community Action	<i>Alice Weary</i>
White	Ronnie	CAP Huntsville/Madison and Limestone Count	<i>Ronnie White</i>
Williams	Kendra	Eleventh Area of Alabama	<i>Kendra Williams</i>
Williams	Marilyn	Montgomery Community Action	
Wilson	Shannon	CAA of Central Alabama	<i>Shannon Wilson</i>





# 2015 State Plan/Agency CAP Meeting

Alabama Center for Commerce  
401 Adams Avenue  
Montgomery, Alabama  
7th Floor Auditorium  
1:00 PM - 4:00 PM

Lee	Elaine	Cap of South Alabama	Elaine Lee
Norman	Beverly	MPA A	Beverly Norman
THOMAS	LINDA	Montgomery CAA	Linda H. Thomas
Greene	Karanne	HRDC	Darlene V. Greene
Pullum	Angel	HRDC	Angel Pullum
Davis	Charity	14th Area of Alabama	Charity Davis
Tackie	Standridge	CSP of W. AL	J. Standridge
Garrett	Jeanne	OCAP Joy	J. Garrett
Felder	Doris	ADECA	Doris Felder
McLANEY	TRON	ADECA	Tracy McLANEY
Talley	Rhoda	AdECA	Rhoda Talley



**Appendix K**  
**Audit Dates for the**  
**Community Action Agencies**



## **Appendix L**

### **ADECA Fair Hearing Policy and Procedures**





ALABAMA DEPARTMENT OF  
ECONOMIC AND COMMUNITY AFFAIRS  
COMMUNITY SERVICES DIVISION  
ADMINISTRATIVE CODE

CHAPTER 305-2-3  
ELIGIBLE ENTITY FAIR HEARING POLICY AND PROCEDURE

TABLE OF CONTENTS

305-2-3-.01	Purpose
305-2-3-.02	Effective Date
305-2-3-.03	Definitions
305-2-3-.04	Coverage
305-2-3-.05	Fair Administrative Hearing Policy
305-2-3-.06	Fair Administrative Hearing Procedure
305-2-3-.07	Hearing Officer's Responsibilities
305-2-3-.08	Other Requirements
305-2-3-.09	Appeals

Note: When referencing the ADECA Community Services Division Eligible Entity Fair Hearing Policy and Procedure in publications, please reference it as follows:

ADECA Community Services Division Eligible Entity Fair Hearing Policy and Procedure, Alabama Administrative Code, Alabama Department of Economic and Community Affairs, Rule 305-2-3-.01 through 305-2-3-.09 (1997).

**305-2-3-.01 Purpose.** This regulation implements Section 675 (c)(11) of the Community Services Block Grant Act [Public Law 97-35, as amended; 42 U.S.C. §9904(c)(11)], establishes and defines the Eligible Entity Fair Hearing Policy and Procedure for the ADECA Community Services Division, establishes and defines fair hearing requirements for eligible entities that receive Community Services Block Grant funding from ADECA pursuant to said Community Services Block Grant Act, implements the Eligible Entity Fair Hearing Policy and Procedure requirements for the ADECA Community Services Division, and defines ADECA and eligible entity recipient responsibilities for implementation and compliance with this policy and these procedural requirements.

**Author:**

**Statutory Authority:** P.L. 97-35, as amended; 42 U.S.C. §9904(c)(11).

**History:** Emergency Adoption: Filed January 15, 1997; effective January 15, 1997. **New Rule:** Filed May 9, 1997; effective June 13, 1997.

**305-2-3-.02 Effective Date.** The effective date of this policy and procedure shall be immediately.

**Author:**

**Statutory Authority:** P.L. 97-35, as amended; 42 U.S.C. §9904(c)(11).

**History:** Emergency Adoption: Filed January 15, 1997; effective January 15, 1997. **New Rule:** Filed May 9, 1997; effective June 13, 1997.

**305-2-3-.03 Definitions.**

(1) Agency/ADECA. The Alabama Department of Economic and Community Affairs (ADECA).

(2) Application. The Community Services Block Grant application submitted annually to the Secretary of the United States Department of Health and Human Services by the State of Alabama, Alabama Department of Economic and Community Affairs (ADECA), and/or the Community Services Division of ADECA.

(3) Chief Executive Officer of the State. The Governor of the State of Alabama.

(4) Community Services Block Grant Act. The Community Services Block Grant Act, Public Law 97-35, as amended; 42 U.S.C. §9901 et seq.

(5) Community Services Block Grant Funds. Federal grant funds received by the State of Alabama, Alabama Department of Economic and Community Affairs (ADECA), and/or the Community Services Division of ADECA pursuant to submission of an annual grant application to the Secretary of the United States Department of Health and Human Services, which grant funds are then awarded among the eligible entities within the State of Alabama pursuant to the Community Services Block Grant Act and the grant regulations promulgated by the United States Department of Health and Human Services, ADECA, and/or the Community Services Division of ADECA.

(6) Community Services Division. The Community Services Division of the Alabama Department of Economic and Community Affairs (ADECA).

(7) Director. The Director of the Alabama Department of Economic and Community Affairs (ADECA).

(8) Eligible Entity. An officially designated community action agency or community action program as defined in the Community Services Block Grant Act, which agency or program is presently operating within the State of Alabama, and which agency or program receives funding through ADECA and/or the Community Services Division of ADECA from funds provided by the Community Services Block Grant Act.

(9) Fiscal Year. The annual budget and grant administration period which begins on October 1 and ends on September 30 of the following year.

(10) For Cause.

(a) For purposes of making a determination with respect to a funding reduction, the term "for cause" shall include:

1. a statewide redistribution of funds under the Community Services Block Grant Program chapter, codified at 42 U.S.C.S. §§9901, et seq., to respond to:

(i) the results of the most recently available census or other appropriate data;

(ii) the establishment of a new eligible entity;

(iii) severe economic dislocation;

2. the failure of an eligible entity to comply with the terms of its agreement to provide services under the Community Services Block Grant Program chapter, codified at 42 U.S.C.S. §§9901, et seq.

(b) For purposes of making a determination with respect to a termination, the term "for cause" shall include the material failure of an eligible entity to comply with the terms of its agreement and community action plan to provide services under the Community Services Block Grant Program chapter, codified at 42 U.S.C.S. §§ 9901, et seq.

(11) Hearing Officer. The Director of ADECA shall request that the Attorney General appoint a hearing officer who shall be responsible for conducting and overseeing an eligible

entity fair hearing described in this policy and procedure, and who shall make recommendations to the Director of ADECA on possible reduction or termination actions described herein.

(12) Notice of Intent. A written communication served in person or sent by certified mail, return receipt requested, or its equivalent, or by telex, telegram, personal delivery, or other mode of written communication as the Director of ADECA shall so prescribe, to the last known address of an eligible entity, its identified counsel, its agent or agency for service of process. The notice of intent shall be deemed to have been received by the addressee five days after being properly sent to the eligible entity's or its designee's last known address.

(13) Subgrantee. An eligible entity as defined hereinabove, which is presently receiving or has in the past received Community Service Block Grant funds from the State of Alabama, ADECA, and/or the Community Services Division of ADECA.

**Author:**

**Statutory Authority:** P.L. 97-35, as amended; 42 U.S.C. §9901 et seq.

**History:** Emergency Adoption: Filed January 15, 1997; effective January 15, 1997. **New Rule:** Filed May 9, 1997; effective June 13, 1997.

**305-2-3-.04 Coverage**. This policy and procedure shall apply to eligible entities, and subgrantees who have participated in, or who are presently participating in, or who may reasonably be expected to participate in the Community Services Block Grant Act program, and/or receive grant funds pursuant thereto, as administered by the State of Alabama, ADECA, and/or the Community Services Division of ADECA.

**Author:**

**Statutory Authority:** P.L. 97-35, as amended; 42 U.S.C. §9901 et seq.

**History:** Emergency Adoption: Filed January 15, 1997; effective January 15, 1997. **New Rule:** Filed May 9, 1997; effective June 13, 1997.

**305-2-3-.05 Fair Administrative Hearing Policy**.

(1) The State of Alabama, ADECA, and/or the Community Services Division of ADECA shall not reduce or terminate, nor make any attempts at reducing or terminating, the funding of an

eligible entity or a subgrantee who is receiving grant funds within the State of Alabama under or pursuant to the Community Services Block Grant Act, and its rules and regulations, without due process in accordance with the Community Services Block Grant Act, nor without a proper determination or confirmation of cause issued by the Secretary of the United States Department of Health and Human Services. In order to protect and further the public interest, it is the policy of the State of Alabama, ADECA, and the Community Services Division of ADECA to conduct business only with responsible persons of eligible entities, and subgrantees. Fair hearings are discretionary on the part of eligible entities but serious actions that, when taken in accordance with this policy and procedure, are appropriate means to implement this policy.

(2) Action taken against an eligible entity or subgrantee by the State of Alabama, ADECA, and/or the Community Services Division of ADECA for cause shall result when the State of Alabama, ADECA, and/or the Community Services Division of ADECA determines that said eligible entity or subgrantee has failed to comply with the terms, conditions and/or obligations specified or implied in any and all grant contracts entered into pursuant to the Community Services Block Grant Act program, and/or federal and state laws, rules and regulations governing the Community Services Block Grant Act and the grant contracts, grant programs and grant funds administered pursuant thereto by the State of Alabama, ADECA, and/or the Community Services Division of ADECA.

(3) When such action for cause is warranted, the State of Alabama, ADECA, and/or the Community Services Division of ADECA shall issue in writing to said eligible entity or subgrantee a notice of intent giving thirty calendar days' notice to said eligible entity or subgrantee that cause exists for a reduction in said eligible entity's or subgrantee's participation in, or for a termination of said eligible entity's or subgrantee's participation in present and/or future grant funding under the Community Services Block Grant Act.

(4) For purposes of the State of Alabama, ADECA, and/or the Community Services Division of ADECA making said determination that cause exists for a reduction in said eligible entity's or subgrantee's grant funding, the term "cause" shall include:

(a) A statewide redistribution of funds received pursuant to the Community Services Block Grant Act to respond to any of the following:

1. The results of the most recently available census or other appropriate data.

2. The establishment of a new eligible entity, or subgrantee.

3. Severe economic dislocation.

(b) The failure of said eligible entity, or subgrantee to comply with the terms contained in the contract/grant agreement to provide services under the Community Services Block Grant Act and/or the federal and state laws, rules and regulations issued pursuant thereto.

(5) For purposes of the State of Alabama, ADECA, and/or the Community Services Division of ADECA making said determination that cause exists for a termination of said eligible entity's or subgrantee's grant funding, the term "cause" shall include the material failure of said eligible entity or subgrantee to comply with the terms, conditions and obligations of the contract or grant agreement and community action plan to provide services under the Community Services Block Grant Act and the federal and state laws, rules and regulations issued pursuant thereto.

(6) When the State of Alabama, ADECA, and/or the Community Services Division of ADECA recommends and proposes to reduce or terminate grant funding pursuant to this policy, the State of Alabama, ADECA by and through its Director, shall put such notification in writing to said eligible entity or subgrantee, indicating the recommended action(s) to be taken, the reason(s) for taking said recommended action(s), and the appeals procedure to be followed, to include said eligible entity's or subgrantee's opportunity to appear before an impartial hearing officer and to present evidence at a fair and impartial hearing on the record. This written notification shall be served upon said eligible entity or subgrantee by certified mail, telex, telegram, personal delivery, or other mode of written communication as the Director of ADECA shall so prescribe, and shall include the following information:

(a) A written explanation of the facts of the situation, the recommended reduction or termination action(s) to be taken, the reason(s) for taking the recommended reduction or termination action(s), and the date for the recommended reduction or termination action(s) to be effective.

(b) A statement informing the eligible entity or subgrantee that it may submit a written request to the Director of ADECA within ten (10) calendar days of its receipt of the



written notification of the recommended reduction or termination action(s), requesting that a fair and impartial hearing be conducted on the record in order for the eligible entity or subgrantee to present oral and/or written evidence as to why the recommended reduction or termination action(s) should not be imposed, and that this written request shall be addressed and submitted to the Director of ADECA at ADECA's main office located at 401 Adams Avenue, Room 580, Post Office Box 5690, Montgomery, Alabama 36103-5690. This statement should also inform the eligible entity or subgrantee that if it chooses to make no response to the notification of recommended reduction or termination action(s), then the decision of the State of Alabama, ADECA by and through its Director, shall be considered as a final determination on said recommended reduction or termination action(s).

(c) The written notice of the recommended reduction or termination action(s) sent to the eligible entity or subgrantee shall be signed by the Director of ADECA.

**Author:**

**Statutory Authority:** P.L. 97-35, as amended; 42 U.S.C. §9901 et seq.

**History:** Emergency Adoption: Filed January 15, 1997; effective January 15, 1997. **New Rule:** Filed May 9, 1997; effective June 13, 1997.

**305-2-3-.06 Fair Administrative Hearing Procedure.** The following procedure will be followed in the event that an eligible entity or subgrantee submits a request for a fair and impartial hearing to be held on the record concerning the recommended reduction or termination action(s), pursuant to subparagraph 305-2-3-.05(6)(b) herein.

(1) When the Director of ADECA receives from an eligible entity or subgrantee a written request for a fair and impartial hearing to be held on the record concerning the recommended reduction or termination action(s), the Director of ADECA shall deliver a notification in writing, addressed to said eligible entity or subgrantee, within five (5) days after receipt of the written request for a fair and impartial hearing, which notification shall be served upon said eligible entity or subgrantee by certified mail, telex, telegram, personal delivery, or other mode of written communication as the Director of ADECA shall so prescribe, and which notification shall include the following information:

A statement that said eligible entity's or subgrantee's written request for a fair and impartial hearing has been

received by the Director of ADECA within the ten (10) calendar day time limit.

A second notification shall be delivered as soon as a hearing officer has been appointed. This notification shall include the following information:

(a) The name of the official who has been appointed to serve as the hearing officer for this hearing, and the scheduled date, time and location for the hearing. The scheduled hearing date shall be at least thirty (30) days following the date of the original written notification of recommended reduction or termination action(s).

(b) A statement of the facts of the situation and the recommended reduction or termination action(s) to be taken against the eligible entity or subgrantee, which constitute the subject for the fair and impartial hearing on the record.

(c) A statement informing the eligible entity or subgrantee of the name of the proper contact person within ADECA, and that contact person's ADECA mailing address and telephone number, as the designated person to contact for questions or further information concerning the scheduled hearing.

(2) On the designated date of the hearing, the hearing procedure shall be conducted at all times by the hearing officer, shall be formal in nature, shall be recorded via tape recording or other reliable mode of transcription, and shall be transcribed into a written record format which will constitute the official record of the proceedings. The hearing officer shall allow any relevant party an opportunity to ask questions, present evidence via oral statements and written or other type of documentation, and make final statements regarding their positions on the recommended reduction or termination action(s).

(3) After each party has been allowed an opportunity to present evidence at the hearing, the hearing officer shall draw conclusions and make a determination as to whether the recommended reduction or termination action(s) should commence against the eligible entity or subgrantee. The hearing officer's conclusions and determination shall be presented in written format to the Director of ADECA within twenty (20) calendar days following the conclusion of the hearing.

(4) The Director of ADECA shall make and issue a final ruling based upon the conclusions and recommendations presented by the hearing officer within twenty (20) calendar days of receipt of said written conclusions and recommendation from the hearing officer. The final ruling shall be in writing, and shall

be served upon the eligible entity or subgrantee, the Division Chief of the Community Services Division of ADECA, and the Secretary of the United States Department of Health and Human Services not later than thirty (30) calendar days following the conclusion of the hearing, by certified mail, facsimile machine (fax), telex, telegram, personal delivery, or other mode of written communication as the Director of ADECA shall so prescribe. This final ruling shall also contain a statement of all the requirements pertaining to the reduction or termination action(s), whichever the case may be, the related activities, and the return of Community Service Block Grant funds, if applicable.

**Author:**

**Statutory Authority:** P.L. 97-35, as amended; 42 U.S.C. §9901 et seq.

**History:** Emergency Adoption: Filed January 15, 1997; effective January 15, 1997. **New Rule:** Filed May 9, 1997; effective June 13, 1997.

**305-2-3-.07 Hearing Officer's Responsibilities.** The official who shall be duly appointed to serve as a hearing officer pursuant to this policy and procedure shall do and perform any and all duties necessary to properly implement this policy in accordance with the procedure identified herein at Rule 305-2-3-.06 and as the Director of ADECA may from time to time so direct.

**Author:**

**Statutory Authority:** P.L. 97-35, as amended; 42 U.S.C. §9901 et seq.

**History:** Emergency Adoption: Filed January 15, 1997; effective January 15, 1997. **New Rule:** Filed May 9, 1997; effective June 13, 1997.

**305-2-3-.08 Other Requirements.** In accordance with this policy, the Director of ADECA shall cause the Community Services Division of ADECA to compile and maintain within the Community Services Division of ADECA a list of all eligible entities or subgrantees who have had a final determination made and directed against them in accordance with this policy and procedure.

**Author:**

**Statutory Authority:** P.L. 97-35, as amended; 42 U.S.C. §9901 et seq.

**History:** Emergency Adoption: Filed January 15, 1997; effective January 15, 1997. **New Rule:** Filed May 9, 1997; effective June 13, 1997.

305-2-3-.09 **Appeals.** If the eligible entity or subgrantee disagrees with the final ruling issued by the Director of ADECA , then said person, eligible entity or subgrantee shall file an appeal with the Secretary of the United States Department of Health and Human Services within ten (10) calendar days of its receipt of that final ruling. Such appeal shall follow the procedures as set forth in the Community Services Block Grant Act, 42 U.S.C. §9905a, and its implementing rules and regulations as governed by the Secretary of the United States Department of Health and Human Services (HHS). ADECA shall provide HHS with relevant information for its review pursuant to said 42 U.S.C. §9905a.

**Author: Statutory Authority:** P.L. 97-35, as amended; 42 U.S.C. §9901 *et seq.* **History:** Emergency Adoption: Filed January 15, 1997; effective January 15, 1997. **New Rule:** Filed May 9, 1997; effective June 13, 1997.

**Appendix M**

**Alabama**

**FY 2013**

**Information System (IS) Report**



1. State Reporting Period (month/day/year)

From: 10/01/12 To: 09/30/13

2. Total CSBG funds expended in FY 2013 for:

	Planned	Actual
a. Eligible Entities	\$15,925,355	\$11,310,255
b. State Administrative Costs	\$690,747	\$651,816
c. Discretionary Projects	\$0	\$0
d. Total Funds	\$16,616,102	\$11,962,071

3. Of the total in 2d, how much  
represents carryover funding  
from the previous fiscal year?

\$5,020,455

4. Carry-forward of FY 2013  
funds to FY 2014 programs

\$4,654,031

5. State CSBG funds (see instructions)

\$287,000

6. TOTAL CSBG funds expended by  
State in FY 2013

\$12,249,071



## 1. State Reporting Period (month/day/year)

From: 10/01/12 To: 09/30/13

## 2. Total CSBG funds expended in FY 2013 for:

	Planned	Actual
a. Eligible Entities	\$15,925,355	\$11,310,255
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\$5,020,455

## 4. Carry-forward of FY 2013 funds to FY 2014 programs

\$4,654,031

## 5. State CSBG funds (see instructions)

\$287,000

## 6. TOTAL CSBG funds expended by State in FY 2013

\$12,249,071

## 1. Eligible entities receiving FY 2013 funds:

(Please attach the provided Excel Spreadsheet for eligible entities, their addresses, and their award amounts.)

a. Number of Community Action Agencies (CAAs) among eligible entities	20
b. Number of Limited Purpose Agencies (LPAs) among eligible entities	1
c. Number of organizations serving migrant or seasonal farmworkers	0
d. Number of these also counted in a or b	0
e. Number of tribal organizations	0
f. Number of these also counted in a, b, or c	0
g. Number of units of local government	0
h. Number of these also counted in a, b, c, or e	0
i. Others designated by statute	0
j. Number of these also counted in a, b, c, e, or g	0
k. Total unduplicated number of eligible entities	21

## 2. Were previously funded eligible entities dropped in FY 2013?

☐ Yes ☒ No

Number:

Reason:

## 3. State allocation method:

- ☐ Historic
 ☐ Hold Harmless + Formula  
☐ Formula with variables
 ☐ Other (please specify)  
☐ Base + Formula  
☒ Formula Alone

## 4. Coverage of counties

- a. Percent of State's counties receiving CSBG services at year end from local CSBG operators:
- b. Number of counties newly receiving CSBG services in FY 2013 (if any)
- c. Name of newly served county(ies) in FY 2013:

1. Please identify the cabinet or administrative department of your State CSBG office.

- ☐ Community Services Department      ☐ Governor's Office  
☐ Human Services Department      ☒ Community Affairs Department  
☐ Social Services Department      ☐ Other (please specify)

2. What is the division, bureau, or office of the CSBG Administrator?

Alabama Department of Economic and Community Affairs

3. Other programs directed by the CSBG Administrator in FY 2013

a. Does the CSBG Administrator also direct DOE Weatherization?

☐ Yes ☒ No

b. Does the CSBG Administrator also direct part or all of the Low Income Home Energy Assistance Program (LIHEAP) bill payment and/or crisis assistance programs?

☐ Yes ☒ No

1) If yes, does the CSBG Administrator also direct the LIHEAP energy conservation program?

☒ Yes ☐ No

c. Does the CSBG Administrator also direct USDA programs? If yes, please list titles below:

☐ Yes ☒ No

d. Does the CSBG Administrator also direct HUD programs? If yes, please list titles below:

☐ Yes ☒ No

e. Does the CSBG Administrator also direct any other federal programs for the homeless?

☐ Yes ☒ No

f. Does the CSBG Administrator also direct State Head Start programs?

☐ Yes ☒ No

g. How many federal or State programs not listed above are also directed by the CSBG Administrator? (List titles of other programs below)

0

4. Was the State CSBG office subject to a reorganization in FY 2012, such as an expansion or contraction of programs, or a transfer of the CSBG office to a different division or department?

☒ Yes ☐ No

If yes, please describe the change (attach an extra page if necessary):

CSBG Program remains in the Community and Economic Development Division of ADECA, the program is now under the Community Services Unit of the Division

5. State statute regarding CSBG:

a. Does your State have a statute authorizing Community Service programs? (If yes, please attach)

☒ Yes ☐ No

b. Did your State legislature enact authorizing legislation, or amendments to an existing authorizing statute during FY 2013?

☐ Yes ☒ No

Please check those items which describe provisions of the current statute.

1) What is the termination date of the current statute?

2) Does it "grandfather" CAAs?

☒ Yes ☐ No

3) Does it specify the terms, or formula, for allotting 90% pass-through funds among eligible entities?

☒ Yes ☐ No

4) Does it require local grantees to match CSBG funds?

☐ Yes ☒ No

5) Does it provide for the designation of new eligible entities?

☐ Yes ☒ No

6) Does it provide for the de-designation of eligible entities?

☐ Yes ☒ No

7) Does it specify a process the State CSBG agency must follow to re-designate an existing eligible entity?

☐ Yes ☒ No

8) Does it designate the bureau, division, or office in State government that is to be the State administering agency?

☐ Yes ☒ No

9) If it has other provisions, please list them:

6. a. Did it cost more in FY 2013 than the federally allowed limit in your State's CSBG allocation for your State to effectively administer the range of services and activities required by the CSBG Act?

☒ Yes ☐ No

b. If yes, what was the amount of these extra costs?

c. If yes, were State funds used to supplement federal administrative expenditures?

☐ Yes ☐ No

d. If yes, what was the amount of the supplemental State funds?

7. a. How many State positions were funded in whole or in part by CSBG funds?

b. How many Full Time Equivalents (FTEs) were funded with CSBG funds?

8. a. How many National peer-to-peer ROMA trained staff work in the State Office?

b. How many Certified Community Action Professionals (CCAPs) work in the State Office?

Please do NOT use acronyms.

See instructions for further details.

### 1. Strategic Thinking for Long-Term Solutions

- a. Please describe an agency strategy which addresses a long-term solution to a persistent problem affecting members of the low-income community.

Agency Name: The Jefferson County Committee for Economic Opportunity

- i. How did the agency identify the community need?

Summer employment is a rare commodity for low-income youth, ages 17-21, in Jefferson County, Alabama, and the persistent lack of summer job opportunities in the area is burdensome and gives rise to an undercurrent of uneasiness, distress, and questionable self-worth - upsetting circumstances that can very well lead to behavioral issues as well as impact the overall well-being of families and their communities. The Summer Youth Employment Program at JCCEO (SYEP) was implemented to help to close this gap of summer unemployment, providing income that helps stabilize families; reducing the likelihood of youth involvement in unfavorable behavior; encouraging and providing a platform for youth to avoid at-risk behavior; developing their social, emotional, and physical well-being; strengthening their value systems and ability to achieve academic success; and helping youth develop job skills/competencies required for sustainable employment.

- ii. How were CSBG funds used to plan, manage, and/or develop the approach?

CSBG funds help support the salaries of the JCCEO Community Services Director and Administrative and Accounting staff and provide support for space, transportation, utilities, and other supports for the Summer Youth Employment Program.

- iii. What local partners were involved, and how did each contribute to the program?

The Jefferson County Workforce Investment Area Office grant funds provided income funding for the 50 SYEP participants. Other partnering companies, agencies, and organizations located throughout the Jefferson County area provided workplace exposure, work experiences, and a learning environment for the 50 SYEP youth participants, broadening their experiences and giving them opportunity to interact with others as they worked and gained knowledge in a variety of workplace settings. Each of these JCCEO SYEP partners - the Birmingham Library, Central Park Methodist Church, the Birmingham Civil Rights Museum, Ensley Recreation Center, Fairfield Park and Recreation, Midfield City Hall, Statewide Auto Sales, YMCA East and West Birmingham locations, JCCEO Kingston Community Services Center, and JCCEO Head Start Festival Center - employed one-to-six youth, depending on the partner's needs. To enhance their experiences in the workplace, participants were required to attend a one-week, job development training workshop as part of the six-week summer program.

- iv. What outcome indicators did the agency use to measure success?

NPIs 1.2A, 2.1I, and 6.3F, G, H, and I indicators were used to measure the success of the SYEP: the number of eligible individuals who enrolled in the program; attended the one-week enrichment workshop; fulfilled mandatory requirements to be present each day, Monday-Friday, 30 hours per week, at their assigned job locations; performed as expected throughout the program period; avoided risky behavior; and fully completed all program requirements.

- v. What outcomes have resulted in FY 2012? If no outcomes yet, when?

Pathways was completed and results are being awaited. We were able to identify areas the agency needs to address such as strategic planning and ensuring our mission is current with the times. We were unable to locate some recording of items in the minutes of documents reviewed and were able to correct that oversight of just making sure it was in the minutes. While this oversight does not make for a weaker agency it does show the board is active and informed and willing to correct any oversight or deficiencies the agency may have.

### 3. Mobilizing Resources to Support Innovative Solutions

a. Please describe how your agency addressed a cause or condition of poverty in the community using an innovative or creative approach. Showcase how your agency relied on mobilization and coordination of resources to help reach interim and final outcomes. Demonstrate how CSBG "works" as it funds staff activities, investments, or services to meet a community need.

i. Agency Name: Community Action Agency of South Alabama

ii. Program Name: I Can Learn to Earn

iii. CSBG Service Category: Employment

iv. Description of program (capacity, duration, targeted population, etc)

The Agency has developed a training program that is inclusive of assuring that all low-income individuals have an opportunity to become a part of the workforce, and to develop their self-sufficiency. Having helped many low-income individuals develop and enhance their ability for possible employment and a steady pay check, the Agency has also worked with hard to employ individuals, such as those with known disabilities. The program being addressed has been designed with the focus of helping participants to understand what self-sufficiency is, and then assisting them in establishing self-sufficiency goals. The level of education for participants is not important; however, it has become a part of the program to offer an environment for motivating trainees to further their education, which is a beginning toward achieving what many refer to as the American dream.

v. How was the agency's approach innovative or creative? Please be specific.

In an ongoing effort to assist with the development of low income individuals in our service area, the Community Action Agency of South Alabama enhanced upon created a program to improve the livelihood of individuals who were under-employed or unemployed. This process started with identifying reasons why individuals were not employed. Through the process of promoting and implementing the program "I Can Learn to Earn", jobs training was enhanced and there were sixteen (16) participants during the 2013 fiscal year.

vi. Outcomes achieved (include the number of people enrolled and areas affected)

1.1, 2.1, 4.1, 6.1 and 6.4  
Enthusiasm took the driver's seat and the participants reaped the benefits of obtaining training skills, developing their self-worth, and were enlightened as they enhanced their self-esteem. Of the sixteen (16) participants, five (5) are currently employed; one (1) got her driver's license and is employed full time; one (1) got married and is employed (she is also legally blind); one (1) went to college to further his education for a higher paying job (this individual was also totally blind); one (1) received a GED, enrolled in college and is currently working full time (this individual was a TANF recipient); five (5) participants are still in training with high expectations of further development and ongoing success.

vii. How were CSBG funds used? Please be specific.



Please do NOT use acronyms.  
See instructions for further details.

#### 4. Providing Positive Results for Vulnerable Populations

- a. Please describe one youth-focused initiative that illustrates how CSBG funding was used and coordinated with other programs and resources.

Agency Name: Community Services Programs of West Alabama, Inc.

i. Description of initiative

A proposal was made to the City of Tuscaloosa to address life and job training skills for this constituency. The program was done in collaboration with the City of Tuscaloosa and local ministerial alliance. Agency developed an application process with parent participation and organized a pre-employment fair to match applicant skills with positions offered by both for-profit and non-profit organizations in the community.

ii. What local partners were involved, and how did each contribute to the program?

City of Tuscaloosa - provided leveraged funds for oversight and direction, counseling and monitoring  
Local ministerial alliance - provided transportation for participants to various job sites  
For-profit and non-profit organizations in the community - provided representation at the pre-employment fair and provided employment opportunities to those enrolled in program.

iii. Outcomes achieved (include the number of people enrolled and areas affected)

25 students enrolled with a waiting list; 24 students completed the program; one of the older students received full-time employment and did not complete the program.

iv. How were CSBG funds used? Please be specific.

Leveraged funds provided through the City Grant with CSBG funding of program oversight and direction; counseling of students who needed additional support and guidance; and ongoing monitoring to ensure the success of this pilot initiative. It is anticipated that we may receive the opportunity for additional funding to enhance services provided through this initiative.

- b. Please describe one senior-focused initiative that illustrates how CSBG funding was used and coordinated with other programs and resources.

Agency Name: Marion-Winston Counties Community Action Committee, Inc.

i. Description of initiative

Marion-Winston Community Action in support of the Marion County Commission provides dispatching, scheduling and reporting for the North Alabama Council of Local Governments transportation service in Hamilton, Alabama. The route van service provides transportation for individuals to local business, banking, medical and pharmaceutical services. In a community with a lack of public transportation the van service provides an opportunity for individuals to take care of some of their weekly needs. It provides a means of independence to those challenged by lack of transportation or whose health prevents them from being able to drive.

ii. What local partners were involved, and how did each contribute to the program?

North Alabama Council of Local Governments provides the vehicles and drivers for the route transportation service. The Marion County Commission subsidizes the bus service to provide transportation in the Hamilton area for those who might not be able to pay transportation cost or provide transportation for themselves. Marion Winston Community Action works as the local liaison between North Alabama Council of Local Governments, the Marion County Commission and the residents of Hamilton. The agency serves to connect residents of the community with the van service, provide scheduling to those interested in the service and also does the paperwork and reporting for the collections from the van drivers that go back to the offices of North Alabama Council of Local Governments.



Number of Agencies Reporting: 22

**Table 1: Total amount of CSBG funds expended in FY 2013 by Service Category**

Service Category	CSBG Funds
1. Employment	\$1,126,543
2. Education	\$929,305
3. Income Management	\$782,832
4. Housing	\$1,060,310
5. Emergency Services	\$3,232,873
6. Nutrition	\$831,362
7. Linkages	\$2,399,220
8. Self Sufficiency	\$686,419
9. Health	\$290,727
10. Other	\$0
<b>Totals</b>	<b>\$11,339,591</b>

Of the CSBG funds reported above \$1,724,834 were for administration.

15.21%

Please consult the instructions regarding what constitutes "administration."

**Table 2: Of the funding listed in Table 1: Funds for Services by Demographic Category, FY 2013**

Demographic Category	CSBG Funds
1. Youth (Aged 12-18)	\$569,886
2. Seniors (Aged 55+)	\$1,579,613

## Alabama

## Section F: Resources Administered and Generated by the CSBG Network

Number of Agencies Reporting: 22

## 2. Amount of FY 2012 CSBG allocated to reporting agency:

2. \$11,015,866

Federal Resources (other than CSBG)

## 3. Weatherization (DOE) (include oil overcharge \$\$)

3. \$1,413,656

## 4. Health and Human Services (HHS)

a. LIHEAP- Fuel Assistance (include oil overcharge \$\$)

4a. \$45,950,559

b. LIHEAP- Weatherization (include oil overcharge \$\$)

4b. \$402,226

c. Head Start

4c. \$72,474,343

d. Early Head Start

4d. \$9,355,812

e. Older Americans Act

4e. \$85,040

f. Social Services Block Grant (SSBG)

4f. \$0

g. Medicare/Medicaid

4g. \$861,507

h. Assets for Independence (AFI)

4h. \$0

i. Temporary Assistance to Needy Families (TANF)

4i. \$0

j. Child Care Development Block Grant (CCDBG)

4j. \$0

k. Other HHS Resources:

i. \$438,877

ii. \$200,000

iii. \$0

iv. \$0

## TOTAL Other HHS Resources:

4k. \$638,877

## 5. Department of Agriculture (USDA)

a. Special Supplemental Nutrition for Women, Infants, Children (WIC)

5a. \$53,228

b. All USDA Non-Food Programs (e.g. rural development)

5b. \$75,343

c. All Other USDA Food Programs

5c. \$9,136,377

## 6. Department of Housing and Urban Development (HUD)

a. Community Dev. Block Grant (CDBG) - Federal, State, and Local

6a. \$2,859,547

b. Section 8

6b. \$0

c. Section 202

6c. \$0

d. Home Tenant Based Assistance

6d. \$0

e. HOPE for Homeowners Program (H4H)

6e. \$0

f. Emergency Shelter Grant Program (ESGP)

6f. \$254,740

g. Continuum of Care (CofC)

6g. \$0

h. All other HUD including homeless programs

6h. \$130,167

## 7. Department of Labor (DOL)

a. Workforce Investment Act (WIA)

7a. \$166,189

b. Other DOL Employment and training programs

7b. \$1,458,585

c. All Other US DOL programs

7c. \$0

## 8. Corp. for National and Community Service (CNCS) programs

8. \$869,660

## 9. Federal Emergency Management Agency (FEMA)

9. \$2,283,278

## 10. Department of Transportation

10. \$136,243

## 11. Department of Education

11. \$0

## 12. Department of Justice

12. \$0

## 13. Department of Treasury

13. \$5,000

## 14. Other Federal Resources:

i. \$1,357,670

ii. \$0

iii. \$0

iv. \$0

## TOTAL Other Federal Resources:

14. \$1,357,670

## 15. TOTAL: NON-CSBG FEDERAL RESOURCES

\$149,968,046

16. State Resources

a. State appropriated funds used for the same purpose as Federal CSBG funds	a.	\$175,866
b. State Housing and Homeless programs (include housing tax credits)	b.	\$0
c. State Nutrition programs	c.	\$106,480
d. State Day Care and Early Childhood programs	d.	\$1,465,700
e. State Energy programs	e.	\$0
f. State Health programs	f.	\$0
g. State Youth Development programs	g.	\$0
h. State Employment and Training programs	h.	\$0
i. State Head Start programs	i.	\$93,100
j. State Senior programs	j.	\$8,692
k. State Transportation programs	k.	\$0
l. State Education programs	l.	\$565,200
m. State Community, Rural and Economic Development programs	m.	\$0
n. State Family Development programs	n.	\$143,604
o. Other State Resources		
	i.	\$0
	ii.	\$0
	iii.	\$0
	iv.	\$0
	o.	\$0
Total Other State Resources		

17. TOTAL: STATE RESOURCES	\$2,558,642
18. If any of these resources were also reported under Item 15 (Federal Resources), please estimate the amount	\$0

Number of Agencies Reporting: 22

**19. Local Resources**

a. Amount of unrestricted funds appropriated by local government	19a.	\$430,968
b. Amount of restricted funds appropriated by local government	19b.	\$1,048,631
c. Value of Contract Services	19c.	\$375,370
d. Value of in-kind goods/services received from local government	19d.	\$5,415,555

**20. TOTAL: LOCAL PUBLIC RESOURCES**

\$7,270,525

21. If any of these resources were also reported under Items 15 or 17,  
(Federal or State resources) please estimate the amount

\$0

**22. Private Sector Resources**

a. Funds from foundations, corps., United Way, other nonprofits	22a.	\$1,631,526
b. Other donated funds	22b.	\$898,591
c. Value of other donated items, food, clothing, furniture, etc.	22c.	\$1,990,011
d. Value of in-kind services received from businesses	22d.	\$5,644,540
e. Payments by clients for services	22e.	\$677,122
f. Payments by private entities for goods or services for low-income clients or communities	22f.	\$24

**23. TOTAL: PRIVATE SECTOR RESOURCES**

\$10,841,813

24. If any of these resources were also reported under Items 15, 17, or  
20 (Federal, State, or Local resources) please estimate the amount

\$0

**25. TOTAL:** ALL Non-CSBG RESOURCES  
(FEDERAL, STATE, LOCAL, PRIVATE)  
less amount of double count from Items 18, 21, and 24

\$170,639,027

**26. TOTAL: (Including CSBG)**

\$181,654,893

Number of Agencies Reporting: 22

2a. Total Non CSBG resources Reported in Section F TOTAL

\$170,639,027

2b. Total amount of CSBG Funds allocated

\$11,015,866

Total Resources for FY 2013 (2a + 2b)

\$181,654,893

3. Total unduplicated number of persons about whom one or more characteristics were obtained
4. Total unduplicated number of persons about whom no characteristics were obtained
5. Total unduplicated number of families about whom one or more characteristics were obtained
6. Total unduplicated number of families about whom no characteristics were obtained

3.	224,757
4.	16,988
5.	107,225
6.	1,636

7. Gender
- a. Male
- b. Female
- TOTAL\*

NUMBER OF PERSONS\*

79,719
144,673
224,392

8. Age

NUMBER OF PERSONS\*

- a. 0-5
- b. 6-11
- c. 12-17
- d. 18-23
- e. 24-44
- f. 45-54
- g. 55-69
- h. 70+
- TOTAL\*

31,471
28,695
25,304
15,800
50,039
23,256
31,361
18,761
224,687

9. Ethnicity/Race

NUMBER OF PERSONS\*

- I. Ethnicity
- a. Hispanic, Latino or Spanish Origin
- b. Not Hispanic, Latino or Spanish Origin
- I. TOTAL\*

5,351
217,678
223,029

- II. Race

- a. White
- b. Black or African American
- c. American Indian and Alaska Native
- d. Asian
- e. Native Hawaiian and Other Pacific Islander
- f. Other
- g. Multi-race (any 2 or more of the above)

66,064
152,896
853
543
54
1,311
2,831
224,552

10. Education Levels of Adults #
- (# For Adults 24 Years Or Older Only)

NUMBER OF PERSONS\*

- a. 0-8
- b. 9-12/Non-Graduates
- c. High School Graduate/GED
- d. 12+ Some Post Secondary
- e. 2 or 4 yr College Graduates
- TOTAL\*\*

2,513
49,169
49,871
7,852
11,508
120,913

11. Other Characteristics

NUMBER OF PERSONS\*

- a. Health Insurance
- b. Disabled

Yes	No	Total
196,767	27,990	224,757
52,398	169,020	221,418

12. Family Type

NUMBER OF FAMILIES\*\*\*

- a. Single Parent/Female
- b. Single Parent/Male
- c. Two Parent Household
- d. Single Person

35,225
1,306
5,963
51,449

13. Family Size

- a. One
- b. Two
- c. Three
- d. Four
- e. Five
- f. Six
- g. Seven
- h. Eight or more
- TOTAL\*\*\*

NUMBER OF FAMILIES\*\*\*

51,403
21,594
16,317
10,596
4,696
1,725
550
344
107,225

14. Source of Family Income

NUMBER OF FAMILIES

- a. Unduplicated # of Families Reporting One or More Sources of Income\*\*\*
- b. Unduplicated # of Families Reporting Zero Income\*\*\*
- TOTAL (a. and b.)\*\*\*
- c. TANF
- d. SSI
- e. Social Security
- f. Pension
- g. General Assistance
- h. Unemployment Insurance
- i. Employment + Other Sources
- j. Employment Only
- k. Other
- l. TOTAL (Items c-k)

94,994
11,175
106,169
3,242
27,673
48,199
2,942
61
4,274
4,708
18,200
11,681
120,980

15. Level of Family Income (% of HHS Guideline)

NUMBER OF FAMILIES\*\*\*

- a. Up to 50%
- b. 51% to 75%
- c. 76% to 100%
- d. 101% to 125%
- e. 126% to 150%
- f. 151% to 175%
- g. 176% to 200%
- h. 201% and over
- TOTAL\*\*\*

30,943
22,682
28,928
15,391
7,537
1,041
277
426
107,225

16. Housing

NUMBER OF FAMILIES\*\*\*

- a. Own
- b. Rent
- c. Homeless
- d. Other
- TOTAL\*\*\*

44,220
60,904
447
1,128
106,699

- e. Two Adults/No children
- f. Other
- TOTAL\*\*\*

6,571
6,026
106,540

# Alabama

Number of Agencies Reporting: 15

Goal 1: Low-income people become more self sufficient.

## Outcomes of Efforts, FY 2013 - NPI 1.1

### Employment

The number and percentage of low-income participants who get a job or become self-employed, as a result of Community Action Assistance, as measured by one or more of the following:

	I.) Number of Participants Enrolled in Program(s)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	IV.) Percentage Achieving Outcome in Reporting Period [(III/II=IV) (%)
<b>A. Unemployed and obtained a job</b>	19 2,448	1,799	1,682 ind.	93.50%
<b>B. Employed and maintained a job for at least 90 days</b>	17 1,650	1,501	1,295 ind.	86.28%
<b>C. Employed and obtained an increase in employment income and/or benefits</b>	17 2,149	1,747	1,460 ind.	83.57%
<b>D. Achieve "living wage" employment and/or benefits</b>	16 2,144	1,387	1,142 ind.	82.34%

## National Performance Indicator 1.1

NASCSP CSBG IS FY 2013

Number of Agencies Reporting: 21

Goal 1: Low-income people become more self sufficient.

**Employment Supports**

The number of low-income participants for whom barriers to initial or continuous employment are reduced or eliminated through assistance from Community Action, as measured by one or more of the following:

**A. Obtained skills/competencies required for employment****B. Completed ABE/GED and received certificate or diploma****C. Completed post-secondary education program and obtained certificate or diploma****D. Enrolled children in before or after school programs****E. Obtained care for child or other dependant****F. Obtained access to reliable transportation and/or driver's license****G. Obtained health care services for themselves and/or family member****H. Obtained and/or maintained safe and affordable housing****I. Obtained food assistance****J. Obtained non-emergency LIHEAP energy assistance****K. Obtained non-emergency WX energy assistance****L. Obtained other non-emergency energy assistance (State/local/private energy programs. Do not include LIHEAP or WX)****I.) Number of  
Participants Enrolled in  
Programs (#)****II.) Number of  
Participants Achieving  
Outcome in Reporting  
Period (#)**

17	1,800	ind.	1,277	ind.
16	257	ind.	105	ind.
16	221	ind.	127	ind.
15	941	ind.	840	ind.
17	17,476	ind.	17,436	ind.
16	403	ind.	370	ind.
16	8,052	ind.	7,865	ind.
19	971	ind.	564	ind.
20	3,460	ind.	3,187	ind.
21	43,883	ind.	39,920	ind.
18	2,643	ind.	109	ind.
16	1,064	ind.	756	ind.



Number of Agencies Reporting: 14

Goal 1: Low-income people become more self sufficient.

**Economic Asset Enhancement and Utilization**

The number and percentage of low-income households that achieve an increase in financial assets and/or financial skills as a result of Community Action assistance, and the aggregated amount of those assets and resources for all participants achieving the outcome, as measured by one or more of the following:

Enhancement A. Number and percent of participants in tax preparation programs who qualified for any type of Federal or State tax credit and the expected aggregated dollar amount of credits

Enhancement B. Number and percent of participants who obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments

Enhancement C. Number and percent of participants who were enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings

I.) Number of Participants Enrolled in Programs (#)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	IV.) Percentage Achieving Outcome in Reporting Period [III/II=IV] (%)	V.) Aggregated Dollar Amounts (Payments, Credits, or Savings) (\$)
4	579	545	131.33%	\$909,211
12	98	60	67.42%	\$74,071
12	597	552	99.46%	\$15,576

Number of Agencies Reporting: 18

Goal 1: Low-income people become more self sufficient.

#### Economic Asset Enhancement and Utilization

	I.) Number of Participants Enrolled in Programs (#)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	IV.) Percentage Achieving Outcome in Reporting Period [III/II=IV] (%)	V.) Aggregated Dollar Amounts (Payments, Credits, or Savings) (\$)
Utilization D. Number and percent of participants demonstrating ability to complete and maintain a budget for over 90 days	4,284	3,720	3,874 ind.	104.14%	
Utilization E. Number and percent of participants opening an Individual Development Account (IDA) or other savings account	161	75	62 ind.	82.67%	
Utilization F. Number and percent of participants who increased their savings through IDA or other savings accounts and the aggregated amount of savings	506	461	421 ind.	91.32%	\$16,450
Utilization G. Number and percent of participants capitalizing a small business with accumulated IDA or other savings	28	6	5 ind.	83.33%	\$6,550
Utilization H. Number and percent of participants pursuing post-secondary education with accumulated IDA or other savings	5	5	5 ind.	100.00%	\$10,700
Utilization I. Number and percent of participants purchasing a home with accumulated IDA or other savings	121	52	43 ind.	82.69%	\$37,000
Utilization J. Number and percent of participants purchasing other assets with accumulated IDA or other savings	28	5	5 ind.	100.00%	\$23,275

Number of Agencies Reporting: 13

Goal 2: The conditions in which low-income people live are improved.

**Community Improvement and Revitalization**

Increase in, or safeguarding of, threatened opportunities and community resources or services for low-income people in the community as a result of Community Action projects/initiatives or advocacy with other public and private agencies, as measured by one or more of the following:

	<b>I.) Number of Projects or Initiatives (#)</b>		<b>II.) Number of Opportunities and/or Community Resources Preserved or Increased (#)</b>
A. Jobs created, or saved, from reduction or elimination in the community	11	8	66
B. Accessible "living wage" jobs created, or saved, from reduction or elimination in the community	11	7	47
C. Safe and affordable housing units created in the community	13	23	90
D. Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy	15	31	813
E. Accessible safe and affordable health care services/facilities for low-income people created, or saved from reduction or elimination	12	22	76,239
F. Accessible safe and affordable child care or child development placement opportunities for low-income families created, or saved from reduction or elimination	14	37	42,884
G. Accessible before-school and after-school program placement opportunities for low-income families created, or saved from reduction or elimination	11	16	573
H. Accessible new or expanded transportation resources, or those that are saved from reduction or elimination, that are available to low-income people, including public or private transportation	10	6	826
I. Accessible or increased educational and training placement opportunities, or those that are saved from reduction or elimination, that are available for low-income people in the community, including vocational, literacy, and life skill training, ABE/GED, and post secondary education	12	15	1,255

Number of Agencies Reporting: 6

Goal 2: The conditions in which low-income people live are improved.

### Community Quality of Life and Assets

The quality of life and assets in low-income neighborhoods are improved by Community Action initiative or advocacy, as measured by one or more of the following:

	I.) Number of Program Initiatives or Advocacy Efforts (#)		II.) Number of Community Assets, Services, or Facilities Preserved or Increased (#)
A. Increases in community assets as a result of a change in law, regulation or policy, which results in improvements in quality of life and assets	10	7	43
B. Increase in the availability or preservation of community facilities	13	10	80
C. Increase in the availability or preservation of community services to improve public health and safety	11	12	3,860
D. Increase in the availability or preservation of commercial services within low-income neighborhoods	11	7	1,605
E. Increase in or preservation of neighborhood quality-of-life resources	11	6	158

Number of Agencies Reporting: 21

Goal 2: The conditions in which low-income people live are improved.

### Community Engagement

The number of community members working with Community Action to improve conditions in the community.

#### I.) Total Contribution by Community (#)

A. Number of community members mobilized by Community Action that participate in community revitalization and anti-poverty initiatives

21 23,031 individuals

B. Number of volunteer hours donated to the agency  
(This will be ALL volunteer hours)

21 794,426 hours

Number of Agencies Reporting: 21

Goal 3: Low-income people own a stake in their community.

Community Enhancement through Maximum Feasible Participation

The number of volunteer hours donated to Community Action		I.) Total Number of Volunteer
A. Total number of volunteer hours donated by low-income individuals to Community Action (This is ONLY the number of volunteer hours from individuals who are low-income)		
21	609,105	hours

(Thus, out of 794,426 total volunteer hours reported in 2.3B, 609,105 hours were from low-income participants.)

Number of Agencies Reporting: 20

Goal 3: Low-income people own a stake in their community.

**Community Enhancement through Maximum Feasible Participation**

The number of low-income people mobilized as a direct result of Community Action initiatives to engage in activities that support and promote their own well-being and that of their community, as measured by one or more of the following:

**I.) Number of  
Low-Income  
People (#)**

A. Number of low-income people participating in formal community organizations, government, boards or councils that provide input to decision-making and policy-setting through Community Action efforts

20 1,777 individuals

B. Number of low-income people acquiring businesses in their community as a result of Community Action assistance

11 2 individuals

C. Number of low-income people purchasing their own home in their community as a result of Community Action assistance

15 77 individuals

D. Number of low-income people engaged in non-governance community activities or groups created or supported by Community Action

15 6,945 individuals



Number of Agencies Reporting: 21

Goal 4: Partnerships among supporters and providers of services to low-income people are achieved

### Expanding Opportunities through Community-Wide Partnerships

The number of organizations, both public and private, that Community Action actively works with to expand resources and opportunities in order to achieve family and community outcomes.

		I.) Unduplicated Number of Organizations (#)		II.) Number of Partnerships (#)	
A. Non-Profit	21	1,252	organizations	680	partnerships
B. Faith Based	21	422	organizations	316	partnerships
C. Local Government	21	211	organizations	209	partnerships
D. State Government	21	114	organizations	256	partnerships
E. Federal Government	21	73	organizations	73	partnerships
F. For-Profit Business or Corporation	21	513	organizations	486	partnerships
G. Consortiums/Collaboration	21	86	organizations	87	partnerships
H. Housing Consortiums/Collaboration	21	84	organizations	77	partnerships
I. School Districts	21	174	organizations	170	partnerships
J. Institutions of postsecondary education/training	21	97	organizations	83	partnerships
K. Financial/Banking Instituions	21	98	organizations	70	partnerships
L. Health Service Institutions	21	204	organizations	171	partnerships
M. State wide associations or collaborations	21	57	organizations	50	partnerships
N. Total number of organizations and total number of partnernships CAAs work with to promote family and community outcomes (automatically calculates)		3,385	organizations	2,728	partnerships

Number of Agencies Reporting: 21

Goal 5: Agencies increase their capacity to achieve results

**Agency Development**

The number of human capital resources available to Community Action that increase agency capacity to achieve family and community outcomes, as measured by one or more of the following:

**I.) Resources in Agency (#)**

<b>A. Number of Certified Community Action Professionals</b>	11	14	individuals
<b>B. Number of Nationally Certified ROMA Trainers</b>	12	5	individuals
<b>C. Number of Family Development Certified Staff</b>	15	57	individuals
<b>D. Number of Child Development Certified Staff</b>	14	35	individuals
<b>E. Number of Staff attending trainings</b>	21	3,702	individuals
<b>F. Number of Board Members attending trainings</b>	21	239	individuals
<b>G. Hours of staff in trainings</b>	21	129,076	hours
<b>H. Hours of Board Members in trainings</b>	21	1,833	hours

Number of Agencies Reporting: 21

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

### Independent Living

The number of vulnerable individuals receiving services from Community Action who maintain an independent living situation as a result of those services:

#### I.) Number of Vulnerable Individuals Living Independently (#)

A. Senior Citizens (seniors can be reported twice, once under Senior Citizens and again if they are disabled under Individuals with Disabilities, ages 55-over)

21 50,122 individuals

#### B. Individuals with Disabilities

<b>Ages:</b>	<b>0-17</b>	15	1,142	individuals
	<b>18-54</b>	21	18,581	individuals
	<b>55-over</b>	21	30,377	individuals
	<b>Age Unknown</b>	3	2,298	individuals
	<b>TOTAL individuals with disabilities</b>		52,398	individuals

Number of Agencies Reporting: 21

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

**Emergency Assistance**

The number of low-income individuals served by Community Action who sought emergency assistance and the number of those individuals for whom assistance was provided, including such services as:

		<b>I.) Number of Individuals Seeking Assistance (#)</b>		<b>II.) Number of Individuals Receiving Assistance (#)</b>	
<b>A. Emergency Food</b>	20	7,420	individuals	7,195	individuals
<b>B. Emergency fuel or utility payments funded by LIHEAP or other public and private funding sources</b>	21	28,129	individuals	25,928	individuals
<b>C. Emergency Rent or Mortgage Assistance</b>	20	1,219	individuals	967	individuals
<b>D. Emergency Car or Home Repair (i.e. structural, appliance, heating system, etc.)</b>	15	144	individuals	76	individuals
<b>E. Emergency Temporary Shelter</b>	16	132	individuals	64	individuals
<b>F. Emergency Medical Care</b>	14	142	individuals	60	individuals
<b>G. Emergency Protection from Violence</b>	15	83	individuals	67	individuals
<b>H. Emergency Legal Assistance</b>	13	141	individuals	128	individuals
<b>I. Emergency Transportation</b>	14	58	individuals	39	individuals
<b>J. Emergency Disaster Relief</b>	12	30	individuals	22	individuals
<b>K. Emergency Clothing</b>	17	1,944	individuals	1,831	individuals

Number of Agencies Reporting: 17

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

**Child and Family Development**

The number and percentage of all infants, children, youth, parents, and other adults participating in developmental or enrichment programs who achieve program goals, as measured by one or more of the following:

	I.) Number of Participants Enrolled in Program(s) (#)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	IV.) Percentage Achieving Outcome in Reporting Period [III/II=IV] (%)
Infant and Child A. Infants and children obtain age appropriate immunizations, medical, and dental care.	17 16,709	16,183	16,299 ind.	100.72%
Infant and Child B. Infant and child health and physical development are improved as a result of adequate nutrition	17 15,771	15,492	15,428 ind.	99.59%
Infant and Child C. Children participate in pre-school activities to develop school readiness skills	17 15,441	15,188	15,332 ind.	100.95%
Infant and Child D. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade	16 9,651	8,801	8,757 ind.	99.50%
Youth E. Youth improve health and physical development	14 17,196	17,188	17,137 ind.	99.70%
Youth F. Youth improve social/emotional development	16 17,564	17,605	17,509 ind.	99.45%
Youth G. Youth avoid risk-taking behavior for a defined period of time	13 17,227	17,238	17,188 ind.	99.71%
Youth H. Youth have reduced involvement with criminal justice system	13 17,199	570	478 ind.	83.86%
Youth I. Youth increase academic, athletic, or social skills for school success	15 17,369	17,417	17,310 ind.	99.39%
Adult J. Parents and other adults learn and exhibit improved parenting skills	15 8,561	7,890	7,561 ind.	95.83%
Adult K. Parents and other adults learn and exhibit improved family functioning skills	15 8,339	7,587	7,329 ind.	96.60%

Number of Agencies Reporting: 21

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

### Family Supports (Seniors, Disabled, and Caregivers)

Low-income people who are unable to work, especially seniors, adults with disabilities, and caregivers, for whom barriers to family stability are reduced or eliminated, as measured by one or more of the following:

	I.) Number of Participants Enrolled in Program(s) (#)		II.) Number of Participants Achieving Outcome in Reporting Period (#)	
A. Enrolled children in before or after school programs	13	612 individuals	450	individuals
B. Obtained care for child or other dependant	15	1,438 individuals	1,283	individuals
C. Obtained access to reliable transportation and/or driver's license	14	889 individuals	891	individuals
D. Obtained health care services for themselves or family member	17	2,783 individuals	2,444	individuals
E. Obtained and/or maintained safe and affordable housing	17	445 individuals	423	individuals
F. Obtained food assistance	20	6,938 individuals	6,537	individuals
G. Obtained non-emergency LIHEAP energy assistance	21	53,516 individuals	49,079	individuals
H. Obtained non-emergency WX energy assistance	18	4,388 individuals	224	individuals
I. Obtained other non-emergency energy assistance (State/local/private energy programs. Do not include LIHEAP or WX)	14	425 individuals	395	individuals

Number of Agencies Reporting: 21

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

### Service Counts

The number of services provided to low-income individuals and/or families, as measured by one or more of the following:

#### I.) Number of Services (#)

A. Food Boxes	17	39,166	boxes
B. Pounds of Food	18	752,343	pounds
C. Units of Clothing	17	9,741	units
D. Rides Provided	18	42,050	rides
E. Information and Referral Calls	21	146,232	calls





**Appendix N**

**Distribution of FY 2014**

**Funds to Eligible Entities**



AGENCY	2010 CENSUS PERCENTAGE POPULATION	TOTAL CSBG FUNDS AVAILABLE IN FY 2014	TOTAL CSBG FUNDS ALLOCATED FOR 2013	ACTUAL FY 2013 CSBG EXPENDITURES
Alabama Council on Human Relations, Inc.	3.174139000	367,588	349,659	349,659
Community Action Agency of South Alabama	7.153700200	828,450	788,042	788,042
Community Action Committee, Inc. Chambers-Tallapoosa-Coosa	2.023790200	234,369	222,937	222,937
Eleventh Area of Alabama Opportunity Action Committee, Inc.	2.742122500	317,557	302,069	302,069
Community Action Agency of Central Alabama	3.953752100	457,873	435,541	435,541
Community Action of Etowah County, Inc.	2.187035900	253,274	240,921	240,921
Human Resource Development Corporation	4.770235400	552,427	525,483	525,483
Community Action Partnership of Huntsville, Madison & Limestone Counties, Inc.	6.081923000	704,331	669,977	669,977
Jefferson County Committee for Economic Opportunity	12.656507500	1,465,714	1,394,224	1,394,224
Macon-Russell Community Action Agency, Inc.	2.160972600	250,256	238,051	237,700
Marion-Winston Counties Community Action Committee, Inc.	1.278762100	151,153	143,779	143,779
Mobile Community Action, Inc.	10.216720200	1,183,168	1,125,460	1,125,460
Montgomery Community Action Committee and Community Development Corporation, Inc.	5.253870100	608,435	578,759	578,759
Community Action Partnership of North Alabama, Inc.	4.468662900	517,503	492,262	492,262
Community Action Agency of Northeast Alabama, Inc.	7.800072200	903,303	859,246	858,946
Community Action Agency of Northwest Alabama, Inc.	3.849625600	445,814	424,069	424,069
Organized Community Action Program, Inc.	4.644749500	537,893	511,660	511,660
Pickens Community Action Committee, and Community Development Corporation, Inc.	0.675995200	78,285	74,467	73,767
Community Action Agency of Talladega, Clay, Randolph, Calhoun, & Cleburne Counties	5.880027000	680,948	647,734	647,734
Walker County Community Action Agency, Inc.	1.577407000	182,675	173,765	173,765
Community Service Programs of West Alabama, Inc	7.423488000	859,693	817,761	817,761
		11,580,709	11,015,866	11,014,515



**Appendix O**  
**Alabama**  
**Certification Documents**





## CERTIFICATION REGARDING LOBBYING

### Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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Director

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Date

Alabama Department of Economic And Community Affairs  
State Agency



## CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

### Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

*Controlled substance* means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);



*Conviction* means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

*Criminal drug statute* means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

*Employee* means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

### Certification Regarding Drug-Free Workplace Requirements

#### Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about --

- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;



(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted –

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

(h) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

401 Adams Avenue

Montgomery, Alabama 36104

Montgomery County Alabama

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

\_\_\_\_\_  
Director

\_\_\_\_\_  
Date

**Alabama Department of Economic and Community Affairs**

State Agency





## **CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

### **Certification Regarding Debarment, Suspension, and Other Responsibility Matters—Primary Covered Transactions**

#### **Instructions for certification**

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.



7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction”, provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- \*\*\*\*\*
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters—Primary Covered Transactions
- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principles:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.



(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions

#### Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lowered tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause title “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction, “without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.





7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

\*\*\*\*\*

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

\_\_\_\_\_  
Director

\_\_\_\_\_  
Date

**Alabama Department of Economic And Community Affairs**

State Agency



## CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

The Pro-Children Act of 2001, 42 U.S.C. 7181 through 7184, imposes restrictions on smoking in facilities where Federally-funded children's services are provided. HHS grants are subject to these requirements only if they meet the Act's specified coverage. The Act specifies that smoking is prohibited in any indoor facility (owned, leased, or contracted for) used for the routine or regular provision of kindergarten, elementary, or secondary education or library services to children under the age of 18. In addition, smoking is prohibited in any indoor facility or portion of a facility (owned, leased, or contracted for) used for the routine or regular provision of federally funded health care, day care, or early childhood development, including Head Start services to children under the age of 18.

The statutory prohibition also applies if such facilities are constructed, operated, or maintained with Federal funds. The statute does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, portions of facilities used for inpatient drug or alcohol treatment, or facilities where WIC coupons are redeemed. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per violation and/or the imposition of an administrative compliance order on the responsible entity.

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Director

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Date

**Alabama Department of Economic and Community Affairs**  
State Agency



**Appendix P**

**Standards Implementation Schedule**

**and**

**Monitoring Tool**



# Alabama CSBG Revised Monitoring Tool

## Implementation Schedule

**May 14, 2014** – Presented at CAA of Alabama Conference

**May 14, 2014 through June 13, 2014** – Comment period  
(comments should be e-mailed to [rhoda.talley@adeca.alabama.gov](mailto:rhoda.talley@adeca.alabama.gov) and/or  
[maureen.neighbors@adeca.alabama.gov](mailto:maureen.neighbors@adeca.alabama.gov))

**June 27, 2014** – Revised tool will be e-mailed to all Executive Directors

**October 1, 2014** – All agencies should have completed self-assessment and sent results to ADECA CSBG staff

**October 1, 2014** – State CSBG staff will begin using monitoring tool





# Alabama CSBG Monitoring Tool

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Agency Name

ADECA CSBG Staff conducting monitoring:

Date(s) of Monitoring Visit:

Executive Director/CEO:

Chairman of the Board:

Date Monitoring Notice Sent:

**Concern** – Items with \* are part of new standards and will be considered “best practices” until regulations are out – until then we will leave them as concerns.

**Finding** – Failure to comply with laws, regulations, or policies.

**Deficiency** – repeated findings for the same thing will not be allowed. If a corrective action is not in progress and progress is not being made, the finding will become a deficiency and the State will implement steps outline in the CSBG Act, Sec. 678C.

Agency Eligibility

The agency is registered with the State of Alabama as a non-profit corporation.

**Guidance**

- Code of Alabama 10-3A-23
- Secretary of State's website lists all corporations registered with the State of Alabama

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written. ☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Secretary of State's Website

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

The Articles of Incorporation contains the official address and purpose of the non-profit organization.

**Guidance**

- Code of Alabama 10-3A-24

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written. ☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Articles of Incorporation/Amendment

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

Maximum Feasible Participation – Category 1: Consumer Input and Involvement

**Standard 1.1 The agency demonstrates low-income participation in its activities.**

**Guidance**

- CSBG Act Sec. 672 (2)(D)
- This is broader than the board membership.
- Can include advisory bodies to the board.
- Can include activities such as Head Start Policy Council, tenant or neighborhood councils, volunteering, etc.

**State Assessment of Agency:**

- ☐ Met-The CAA has met the requirements of the Standard as written. ☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Advisory Group Minutes ☐ Board Minutes ☐ Volunteer lists with time records  
☐ Activity Participation Lists ☐ Board Pre-Meeting Materials/Packet

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 1.2 The agency analyzes information collected directly from low-income individuals as part of the Community Assessment.**

**Guidance**

- This reflects the need for the CAA to talk directly to low-income individuals.
- This can include focus groups, interviews, community forums, customer surveys, etc.

**State Assessment of Agency:**

- ☐ Met-The CAA has met the requirements of the Standard as written. ☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Community Assessment Document (Including Appendices) ☐ Community Forum Summaries  
☐ Backup Documentation/Data Summaries ☐ Interview Transcripts

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 1.3 The agency has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.**

**Guidance**

- This reflects the need for any business to gather information regarding customer satisfaction.
- This does not imply that a specific customer satisfaction level needs to be achieved.
- Documentation is needed to demonstrate all three components in order to meet the Standard: 1) collection, 2) analysis, and 3) reporting of data.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written. ☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Customer Satisfaction Policy and/or Procedures ☐ Customer Satisfaction Instruments, e.g., Surveys, Data Collection Tools, and Schedule  
☐ Board/Committee Minutes ☐ Customer Satisfaction Reports to CAA Leadership, Board and/or Broader Community

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**

Maximum Feasible Participation – Category 2: Community Engagement

**Standard 2.1**

**The agency has documented or demonstrated partnerships across the community, specifically including other anti-poverty organizations in the area.**

**Guidance**

- CSBG Act Sec. 676 (b)(1)(A)(vii)
- Partnerships are considered to be mutually beneficial arrangements wherein each entity contributes and/or receives: time, effort, expertise, and/or resources.
- This could be documented through MOUs, contracts, agreements, documented outcomes, etc.
- This requires that some, but not all, of the partnerships be documented.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Partnership Documentation: Agreements, Emails, MOU/MOAs

☐ Sub-Contracts with Delegate/Partner Agencies

☐ Strategic Plan Update/Report if it Demonstrates Partnerships

☐ Coalition Membership Lists

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 2.2**

**The agency utilizes information gathered from key sectors of the community in assessing needs and resources. This would include at a minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.**

**Guidance**

- Engagement may include focus groups, key informant interviews, staff participation in community groups/advisory bodies, community-wide process.
- Documentation is needed to demonstrate that all five sectors have been engaged in order to meet the Standard: 1) Community-based, 2) faith-based, 3) private sector, 4) public sector, and 5) educational institutions.
- If one or more of these sectors are not present in the community, or refuses to participate, the CAA will demonstrate the gap or a good-faith effort to engage the sector(s).

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Community Assessment Document (Including Appendices)

☐ Board/Committee Minutes

☐ Backup Documentation of Involvement: Surveys, Interview Documentation, Community Meeting Minutes, etc.

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 2.3****The agency communicates its activities and its results to the community.****Guidance**

- This may be met through the CAA's annual report, social media activity, traditional news media, community outreach activities, etc.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Annual Report☐ Website, Facebook Page, Twitter Account, etc. (Regularly Updated)☐ Media Files of Stories Published☐ News Release Copies☐ Community Event Information☐ Communication Plan**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****Standard 2.4****The agency documents the number of volunteers and hours mobilized in support of its activities.****Guidance**

- There is no requirement to utilize volunteers, only to document the number of volunteers and hours donated, if utilized.
- This information should already be collected as reported in the NPIs.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Data on Number of Volunteers and Hours Provided☐ Board Minutes☐ Documentation of Tracking System(s)**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**



Maximum Feasible Participation – Category 3: Community Assessment

**Standard 3.1**

**The agency conducts a community assessment and issues a report no less than once every 3 years.**

**Guidance**

- This Standard refers to what is sometimes called the Community Needs Assessment, and requires the CAA to document both needs and resources in the community.
- This may require ADECA to adjust timeframes for the required submission.
- The report may be electronic or print, and may be circulated as the CAA deems appropriate.
- It may be helpful for the CAA to document the report release date such as April 2013 or December 2015.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Community Assessment Document with Date Noted

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 3.2**

**As part of the community assessment, the agency collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).**

**Guidance**

- Documentation is needed to demonstrate all four categories in order to meet the Standard: 1) gender, 2) age, 3) race, and 4) ethnicity.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Community Assessment Document (Including Appendices)

☐ Backup Information Including Census and Other Demographic Data

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 3.3**

The agency collects and analyzes both qualitative and quantitative data on its service area(s) in the community assessment.

**Guidance**

- Documentation is needed to demonstrate that both types of data are collected in order to meet the Standard:
  - Qualitative: This includes focus groups, interviews, community forums, etc.
  - Quantitative: This is numeric information, e.g. census data, demographic information, and other statistical sources.
- Documentation on data analysis is also required in order to meet the Standard.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met –The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Community Assessment Document (Including Appendices)☐ Backup Documentation☐ Broader Community-Wide Assessment☐ Other Data Collection Process on Poverty☐ Committee/Team Minutes (Reflecting Analysis)**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****Standard 3.4**

The board has formally accepted the completed Community Assessment.

**Guidance**

- The board votes to accept the Assessment at a regular board meeting; and documentation of such is included in the minutes.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met –The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Community Assessment Document☐ Board Minutes☐ Board Pre-Meeting Materials/Package**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**



Vision and Direction – Category 4: Organizational Leadership

**Standard 4.1** The board has reviewed the agency's mission statement in the past 5 years and assured that:

1. The mission addresses poverty; and
2. The agency's programs and services are in alignment with the mission.

**Guidance**

- "Addresses poverty" does not require using the word poverty in the CAA's mission (i.e., low-income, self-sufficiency, economic security, etc.)
- The board determines if the programs and services are in alignment with the mission.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Board Minutes

☐ Strategic Plan

☐ Mission Statement

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 4.2**

The agency's Community Action Plan (CAP) is outcome-based, anti-poverty focused, and ties directly to the Community Needs Assessment.

**Guidance**

- ADECA is responsible for determining the plan's format, and will ensure that the three components are readily identifiable.
- The Plan must focus on outcomes, i.e., changes in status (such as hunger alleviation vs. number of food baskets).

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ CAP Plan\*

☐ Logic Model

☐ Community Assessment

\* Sometimes called CSBG Plan or CSBG Workplan

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 4.3**

The agency has access to and utilizes the services of a minimum of one Results-Oriented Management and Accountability (ROMA) – certified trainer.

**Guidance**

- There is no requirement to have a Certified ROMA trainer on the CAA's staff.
- While a ROMA trainer (or equivalent) must be involved, it is up to the CAA to determine the manner in which this individual is utilized. Examples include: involving the trainer in strategic planning meetings, consultation on implementation, etc.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Certified ROMA Trainer in the CAA      ☐ Agreement with Certified Trainer not within the CAA to Provide ROMA Services
- ☐ Strategic Plan (Including Appendices)      ☐ Community Action Plan (Including Appendices)
- ☐ Meeting Summaries of ROMA Trainer Participation

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****Standard 4.4**

There is a written succession plan in place for the CEO/ED, approved by the board, that contains procedures for covering an emergency/unplanned, short-term absence of three (3) months or less, as well as outlines the process for filling a permanent vacancy.

**Guidance**

- Board approval will likely occur through a board vote at a regular board meeting.
- Documentation must include both elements: 1) a plan for emergency absence and 2) a policy for filling a permanent vacancy.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Board Minutes      ☐ Succession Plan/Policy      ☐ Short Term Succession Plan

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 4.5** An agency-wide risk assessment is completed at least every two (2) years and reported to the board.

**Guidance**

- Reporting to the board will likely occur at a regular board meeting and should be reflected in the minutes.
- It is important to note that to meet the Standard the CAA only has to complete the assessment and report to the board.
- There is no mandatory tool for completing this risk assessment. This is more comprehensive than the financial risk assessment contained in the audit and may also include such areas as insurance, transportation, facilities, staffing, property, etc. To meet the Standard, the tool(s) used shall address CAA-wide functions, not just individual program requirements.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Risk Assessment Policy and/or Procedures

☐ Board Minutes

☐ Completed Risk Assessment Tool

☐ Risk Assessment Reports

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

Vision and Direction – Category 5: Board Governance

**Standard 5.1**

The agency's board is structured in compliance with the CSBG Act:

1. At least one third democratically-selected representatives of the low-income community;
2. One-third local elected officials (or their representatives); and
3. The remaining membership from major groups and interests in the community.

**Guidance**

- This Standard is based on the CSBG Act and only addresses the composition/structure of the board.
- Refer to the CSBG Act and IM 82 for comprehensive guidance.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Board Minutes

☐ Board Roster

☐ Bylaws

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 5.2**

The agency's board has written procedures that document a democratic selection process for low-income board members adequate to assure that they are representative of the low-income community.

**Guidance**

- Refer to the CSBG Act and IM 82 for comprehensive guidance.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Board Policies and Procedures

☐ Board Minutes

☐ Bylaws

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 5.3****The agency's bylaws have been reviewed by an attorney within the past five (5) years.****Guidance**

- There is no requirement that the attorney be paid.
- Final reviews by attorneys on the board or on staff are not recommended, however, are not disallowed.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Board Policies and Procedures☐ Board Minutes☐ Bylaws☐ Attorney Invoice Validating review of bylaws☐ Attorney statement of in-kind donation reflecting review of bylaws**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****Standard 5.4****The board members receive and review the bylaws at least every two (2) years.****Guidance**

- This may be accomplished through electronic or hard copy distribution.
- A signed and dated acknowledgement of receipt or email acknowledgement is sufficient to meet the Standard.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Board Minutes☐ Board Pre-Meeting Materials/Packet☐ Bylaws☐ List of Signatures☐ Copies of Acknowledgments**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**



**Standard 5.5 The board meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its bylaws.**

**Guidance**

- Alabama CSBG Policies and Procedures require a minimum of four (4) meetings per year with a quorum.
- Alabama CSBG Policies and Procedures define a quorum as more than 50%.
- Alabama CSBG Policies and Procedures require board vacancies to be addressed in bylaws.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Board Minutes

☐ Board Roster

☐ Board Bylaws

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 5.6 Board members sign a conflict of interest policy and procedures, and review them at least every two (2) years.**

**Guidance**

- There is no requirement to use a specific conflict of interest policy, only that the CAA utilizes one that meets its needs.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Board Minutes

☐ Conflict of Interest Policy/Procedures

☐ Signed Policies/Signature List

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 5.7**      The agency has a structured process for board members' orientation within six (6) months of being selected/appointed.

**Guidance**

- Orientation may be done by board and/or staff members, and there is no specific curricula requirement.
- The CAA must have documentation of its process (including content), as well as documentation that each board member has received such orientation.
- Please note that to meet the Standard, the CAA must only document the process.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.      ☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Board Policy/Procedures      ☐ Board Training Materials      ☐ Board Member Acknowledgement/Signature

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 5.8**      Board members are provided with training on their duties and responsibilities at least every two (2) years.

**Guidance**

- There is no specific board training curricula requirement or training methodology required.
- Training may be delivered at board meetings, special sessions, at conferences, or through electronic media.
- The CAA must have documentation of its training (including content), as well as documentation that each board member has been provided with training opportunities.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.      ☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Training Agenda      ☐ Attendee List      ☐ Board Minutes  
☐ Documentation of Board Attendance at Offsite Training Conferences/Events/Webinars, etc.

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 5.9      The agency's board receives regular programmatic reports on agency's progress.**

**Guidance**

- This Standard does not require a report on each program at every board meeting; however, it does call for some level of programmatic reporting at every board meeting. The CAA determines its process for reporting programs to the board. For example, the CAA may cycle through its programs semi-annually, quarterly, or may elect to provide a brief summary at every board meeting.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Board Minutes

☐ Board Pre-Meeting Materials/Packet

☐ Programmatic Reports

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 5.10      The agency's selection procedures for board membership have been reviewed by each County Commission within its service area.**

**Guidance**

- This Standard requires the CAA to maintain documentation of review for each County Commission within its service area or proof that agency bylaws were submitted to each County Commission within its service area.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ County Commission Meeting Minutes

☐ Letter(s) from County Commission(s)

☐ Certified mail receipt signed by authorized signatory from County Commission

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**



**State Standard 5.11 The agency's bylaws meet all requirements in Section III, Part G. of the Policies and Procedures Manual (Bylaw Requirements)**

**Guidance**

- This Standard requires the CAA's bylaws to contain at a minimum, the thirteen articles addressed in Section III of the Policies and Procedures Manual which shall include:

- |   |  |
|---|--|
| <input type="checkbox"/> Removal of board members                   | <input type="checkbox"/> Control of minutes              |
| <input type="checkbox"/> Compensation for board members to meetings | <input type="checkbox"/> Alternates (this is prohibited) |
| <input type="checkbox"/> Dissolution of the board                   | <input type="checkbox"/> Term limits                     |

**Note: Remaining seven (7) are addressed in other standards**

**State Assessment of Agency:**

- ☐ Met-The CAA has met the requirements of the Standard as written. ☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Bylaws

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 5.12 The agency maintains documentation to support selection/appointment for all board members**

**Guidance**

- This Standard requires the CAA to maintain documentation to support the selection/appointment of each member of the governing board.
- CSBG Act Section 676B

**State Assessment of Agency:**

- ☐ Met-The CAA has met the requirements of the Standard as written. ☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- |  |  |
|--|--|
| <input type="checkbox"/> Appointment Letters from Private Organizations  |  |
| <input type="checkbox"/> Appointment/Acceptance Letters from the Chief Elected Official of Each Jurisdiction Represented |  |
| <input type="checkbox"/> Appointment/Acceptance Letters from State Representative or State Senator                       |  |
| <input type="checkbox"/> Sign-in Sheets  | <input type="checkbox"/> Minutes from Community Meetings |
| <input type="checkbox"/> Ballots   | <input type="checkbox"/> Election Notification           |

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 5.13 All counties of the agency's service area are represented on the board.**

**Guidance**

- This Standard requires the composition of the board to include representatives of all counties served.
- Alabama CSBG Policies and Procedures, Section III, Part C

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Board Roster

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 5.14 The agency maintains a roster of attendance and written minutes for all board and committee meetings and post them in FACSPRO system within 14 days after approval by the board.**

**Guidance**

- Alabama Policies and Procedures require a record of votes on all motions; members making and seconding motions must be identified in the minutes. If motions are not unanimous, there must be a record of each member's vote.
- A signed copy of the minutes, roster of attendance and any written material distributed at the meeting must be posted in FACSPRO
- Code of Alabama 10A-3-2.32

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Board Roster

☐ Board Meeting Minutes

☐ FACSPRO

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

Vision and Direction – Category 6: Strategic Planning

**Standard 6.1** The agency has an agency-wide strategic plan in place that has been approved by the board in the past five (5) years.

**Guidance**

- This is intended to be a CAA-wide document, not a listing of individual program goals.
- Board approval will occur by a board vote at a regular board meeting as documented in the minutes.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Board Minutes

☐ Strategic Plan

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 6.2**

The approved strategic plan addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.

**Guidance**

- These are the purposes of CSBG as stated in the Act.
- These specific terms are not required, but the plan shall include one or more of the themes noted in the Standard.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Strategic Plan

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 6.3****The approved strategic plan contains Family, Agency, and Community goals.****Guidance**

- These goals are set out as part of ROMA, referenced in IM 49, and provide the framework for the National Performance Indicators.
- These specific terms are not required, but the plan shall address one or more of these dimensions.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Strategic Plan**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****Standard 6.4****The agency ensures that customer satisfaction data and customer input is included in the strategic planning process.****Guidance**

- This Standard links the Community Assessment with Strategic Planning.
- There is no requirement to do additional data collection.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Strategic Plan (Including Appendices)☐ Notes From Strategic Planning Process☐ Customer Satisfaction Data/Reports☐ Customer Input Data/Reports**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 6.5    The board is updated on meeting the progress of the strategic plan no less than every 12 months.**

**Guidance**

- The CSBG Act requires the board to be involved with assessment, planning, implementation and evaluation of programs; this Standard supports meeting that requirement.
- This Standard is met by providing updates at regular board meetings or planning sessions, as documented in the minutes.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Strategic Plan Update/Report

☐ Board Minutes

☐ Board Pre-Meeting Materials/Packet

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**



Operations and Accountability – Category 7: Human Resource Management

**Standard 7.1** The agency has written personnel policies that have been reviewed by an attorney and approved by the Board within the past 5 years.

**Guidance**

- There is no requirement that the attorney be paid.
- Final reviews by attorneys on the board or on staff are not recommended, however, are not disallowed.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Personnel Policies ☐ Board Pre-Meeting Materials/Packet ☐ Board Minutes
- ☐ Statement/Invoice from an attorney Reflecting the Review
- ☐ Statement of In-Kind Donation from an attorney Reflecting the Review

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 7.2** The agency makes available the Employee Handbook (or personnel policies in cases without a Handbook) to all staff and notifies staff of any changes.

**Guidance**

- The handbook may be available in electronic or print formats.
- The process for notification of changes is up to the individual CAA.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Employee Handbook/Personnel Policies ☐ Documentation of Location and Availability of Handbook/Policies
- ☐ Identified Process for Notifying Staff of Updates (May Be Included within the Handbook/Policy)

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 7.3 For all employees, the agency has written job descriptions, which have been updated in the past five (5) years.**

**Guidance**

- This references job descriptions for each type of position, not each staff person.
- To meet the Standard, job descriptions may include a date of last review/update; the Standard does not require changes when descriptions are reviewed.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written. ☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Organizational Chart/Staff List ☐ Job Descriptions ☐ Board or Committee Minutes (Noting Documents have been Updated)

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 7.4 The board conducts a performance appraisal of the CEO/Executive Director within each calendar year.**

**Guidance**

- There is no specific appraisal tool required.
- This may be accomplished through a committee or the full board; however, the full board should receive the results and have that reflected in the board minutes.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written. ☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Board Minutes

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 7.5      The board reviews and approves CEO/Executive Director compensation within every calendar year.**

**Guidance**

- The full board reviews and approves the total compensation at a regular board meeting as reflected in the board minutes.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written. ☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Board Minutes ☐ Executive Director/CEO Contract (if Applicable)

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 7.6      The agency has a policy in place for regular written evaluation of employees by their respective supervisors.**

**Guidance**

- The Standard calls for an adopted policy.
- The Standard is not intended to imply that 100% of employees must have an annual review. This is due to normal business conditions, e.g. timing of resignation/dismissal, FMLA, seasonal, etc.
- Alabama Policies and Procedures, Section VII, A.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written. ☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Evaluation Process/Policy  
☐ Personnel Policies and Procedures

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**



**Standard 7.7****The agency has a whistleblower policy that has been approved by the board within the past 5 years.****Guidance**

- Once the whistleblower policy is approved and in place, there is no requirement for additional review under this Standard.
- This Standard is met through a vote by the board at a regular meeting as noted in the minutes.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met –The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Whistleblower Policy☐ Board Minutes☐ Board Pre-Meeting Materials/Packet**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****Standard 7.8****All agency staff participate in a new employee orientation within the first 60 days of hire.****Guidance**

- There are no curricula requirements for the orientation.
- This may be met through individual or group orientation and documented in personnel files.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met –The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Personnel Policies/Employee Handbook☐ Orientation Materials☐ Sampling of HR/Personnel Files for Documentation of Attendance**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 7.9**      **The agency conducts or makes available staff development/training (including ROMA) on an ongoing basis.**

**Guidance**

- There are no specific requirements for training topics, with the exception of ROMA.
- This Standard may be met through in-house, community-based, conference, online, and other training modalities.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Training Plan(s)

☐ Documentation of Trainings: Presentations, Evaluations, Attendee Lists

☐ HR/Personnel Files

☐ Documentation of Attendance at Offsite Training Events/Conferences

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 7.10**      **The agency maintains the appropriate immigration certification (I9) for employees hired after 1988.**

**Guidance**

- Immigration Reform and Control Act of 1986

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ HR/Personnel Files

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

Operations and Accountability – Category 8: Financial Operations and Oversight

**Standard 8.1** The agency's annual audit is completed by a Certified Public Accountant on time (includes within approved extension periods) in accordance with OMB A-133 (if applicable) and/or State audit threshold requirements.

**Guidance**

- Please refer to and follow state and federal guidance related to audits.
- State Bid Law- Code of Alabama § 41-16-57(f)

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Completed Audit

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 8.2** All findings from the prior year's annual audit have been assessed by the agency and addressed where the agency has deemed it appropriate.

**Guidance**

- This Standard is met through board discussion and decisions at a regular board meeting with decisions noted in the minutes.
- Alabama CSBG Policies and Procedures, Section XI

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Completed Audit

☐ Management Response to the Audit

☐ Board Minutes

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 8.3** The agency's auditor presents the audit to the Board of Directors. This can be met by presentation to the full board or to the appropriate committee (finance, finance/audit, audit, executive) and can be done by conference call/web meeting.

**Guidance**

- This Standard is met when the auditor meets with the full board and/or appropriate committee(s) including finance, finance/audit, audits, or executive.
- The auditor may make the presentation in person or other means, as allowed by state law.
- This presentation shall be reflected in the minutes.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Completed Audit

☐ Board Minutes/Committee Minutes

☐ Board Pre-Meeting Materials/Package

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 8.4** The board formally receives and accepts the Audit.

**Guidance**

- This Standard is met through a board vote at a regular board meeting as reflected in the minutes.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Completed Audit

☐ Board Minutes

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 8.5**                      **The audit is put out for bid at least every three (3) years and follows the agency's procurement policies.**

**Guidance**

- State Bid Law- Code of Alabama § 41-16-57(f) Contracts for the purchase of personal property or contractual services shall not be let for periods greater than three years.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.                      ☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ CAA Procurement Policy                      ☐ Board Pre-Meeting Materials/Packet  
☐ Documentation of Bid Process, including RFP/RFQ, List of Vendors Receiving Notice, Proof of any Publication of the Process

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 8.6**                      **The IRS Form 990 is completed annually and made available to the board for review.**

**Guidance**

- The 990 is a publically available document, and specifically asks if the board has reviewed the document prior to its submission.
- The Standard is met by documenting the review process in the board minutes; the Standard does not require board acceptance or approval of the 990.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.                      ☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ IRS Form 990                      ☐ Board Minutes  
☐ Board Pre-Meeting Materials/Packet                      ☐ Documentation of 990 Distribution to the Board (Mail, Email, Link)

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 8.7****The board receives financial reports at each regular meeting that include at a minimum:**

1. Revenue and Expenditures-Budget to Actual by Program; and
2. Cash Flow Report/Update/Needs for the next 30 days.

**Guidance**

- Categorization by program does not require reporting by individual funding stream; it may be by CAA-defined program areas, e.g., early childhood, energy, housing, etc.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Financial Reports as Noted Above☐ Board Minutes/Committee Minutes☐ Board Pre-Meeting Materials/Packet**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****Standard 8.8****All required filings and payments related to payroll tax withholdings are completed on time.****Guidance**

- This includes: federal, state and local taxes; as well as insurance and retirement payments.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Payroll Tax Documentation/Filings☐ Insurance Documentation (Health, Disability, Flex Accounts)☐ Retirement Accounts Documentation☐ Record of Payments to State, Federal, Insurance and Retirement Accounts**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 8.9****The board annually approves an agency-wide budget.****Guidance**

- This is met through approval at a regular board meeting as documented in the board minutes.
- This is intended to complement, not replace, program budgets.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met –The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Agency-Wide Budget☐ Board Minutes☐ Board Pre-Meeting Materials/Package**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****Standard 8.10****The Fiscal Policies are reviewed annually by staff, updated as necessary, with changes approved by the board.****Guidance**

- This is met through approval at a regular board meeting and documented in the board minutes.
- There are no requirements for which specific staff need to be involved in the staff-level review.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met –The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Fiscal Policies/Procedures Manual☐ Board Minutes/Committee Minutes☐ Board Pre-Meeting Materials/Package**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**



**Standard 8.11 A written procurement policy is in place and reviewed by the board at least every five (5) years.**

**Guidance**

- This is met through approval at a regular board meeting as documented in the board minutes.
- OMB A-110 Subpart C., 44.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Procurement Policy

☐ Board Minutes

☐ Board Pre-Meeting Materials/Package

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 8.12 A written cost allocation plan is in place for agencies without an approved federally approved indirect cost rate.**

**Guidance**

- If no approved indirect cost rate is in place, the CAA must have a written cost allocation plan.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Cost Allocation Plan

☐ Approved Indirect Cost Rate

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**



**Standard 8.13****The agency has a written document retention and destruction policy in place.****Guidance**

- This includes electronic and physical documents.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Document Retention and Destruction Policy**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****State Standard 8.14****The agency has a system in place to ensure adequate safeguards of property and all inventoried property is visually documented during review.****Guidance**

- The CAA must implement a control system (Part III, Section E) which prevent loss, damage, or theft of property and maintain an ADECA Recipient Property Management Manual on the premises.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met -The CAA has not met the requirements.☐ N/A- The CAA has no property purchased with federal funds in its possession.**Documentation used: (Check all that apply)**☐ ADECA Recipient Property Management Manual☐ Verify CAA's Written Procedures for Property (Fiscal Policies and Procedures Manual)**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 8.15      The agency reimbursements for travel do not exceed state travel rates and proper authorization is obtained prior to travel.**

**Guidance**

- Alabama CSBG Policies and Procedures limit travel reimbursements to the state rate.
- Alabama CSBG Policies and Procedures state that all travel requests for the Executive Director must be approved by the board chair or his/her designee.
- CAA's policy and procedures should address approval process for CAA staff.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Randomly Selected Travel Reimbursements  
☐ CAA's Written Travel Procedures

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 8.16      The agency procedures are followed with regard to pre-approval and payment authorization for purchases.**

**Guidance**

- OMB A-110 Subpart C §21(b)(3) requires effective control over and accountability for all funds, property, and assets.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Randomly Selected Disbursement Documentation  
☐ CAA's Written Purchase Procedures

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 8.17 The agency has adequate documentation for all CSBG disbursements.**

**Guidance**

- OMB A-122 requires all allowable costs be adequately documented.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Randomly Selected Disbursements

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 8.18 The agency keeps blank checks and/or signature stamps in a secure location.**

**Guidance**

- OMB A-110 Subpart C §21(b)(3) requires effective control over and accountability for all funds, property, and assets.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Verify Location of Blank Checks (Check for Missing Numbers and Signatures)

☐ Verify Location of Signature Stamps and Who Has Access

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 8.19** Bank reconciliations are done in a timely manner and in accordance with agency's fiscal policy.

**Guidance**

- OMB A-110 Subpart C §21(b)(3) requires effective control over and accountability for all funds, property, and assets.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Bank Reconciliations

☐ Bank Statements

☐ CAA's Fiscal Policy and Procedures Manual

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 8.20** Agency's personnel charges are supported by time and attendance records that reflect an after-the fact determination of the actual activities of each employee.

**Guidance**

- OMB A-122 Attachment B, 8., m.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Randomly Selected Timesheets

☐ Payroll Registers

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

Operations and Accountability – Category 9: Data and Analysis

**Standard 9.1**

**The agency has a system or systems in place to track and report services customers receive.**

**Guidance**

- Some funders require their own systems be used; the CAA may or may not have a CAA-wide system in place. As long as all services are tracked, this Standard is met.
- Alabama CSBG Policy and Procedures, Section X

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Data System Documentation and/or Direct Observation

☐ Reports as Used by Staff, Leadership, Board or Cognizant Funder

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 9.2 The agency has a system or systems in place to track family, agency, and/or community outcomes.**

**Guidance**

- Some funders require their own systems be used; the CAA may or may not have a CAA-wide system in place. As long as all outcomes are tracked, this Standard is met.
- This may or may not be the same system(s) noted in 9.1.
- Alabama CSBG Policies and Procedures, Section X

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Data System Documentation and/or Direct Observation

☐ Reports as Used By Staff, Leadership, Board or Cognizant Funder

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 9.3****The agency analyzes its outcomes no less than every 12 months.****Guidance**

- This Standard is met through board or staff discussions, as long as the analysis and discussion is documented.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met –The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Strategic Plan Update/Report☐ Other Outcome Report☐ Staff Meeting Minutes☐ Board Minutes☐ Board Pre-Meeting Materials/Package**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****Standard 9.4 The agency has a system in place to produce an unduplicated count of customers served, with the exception of those grants/funders that prohibit data aggregation.****Guidance**

- Information shall be verified for manually entered data on annual IS and quarterly ROMA reports.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met –The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ IS Data Report☐ Other Data System Reports**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**

**Standard 9.5 The agency submits its annual IS Data Report and it reflects agency-wide outcomes.**

**Guidance**

- ADECA established timeframes for submission.
- Alabama Policies and Procedures, Section IX, A.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written. ☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ IS Data Report ☐ Email or Upload Documentation Reflecting Submission  
☐ Backup Documentation Gathered CAA-Wide to Support the IS Submission

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 9.6 The agency submits its quarterly ROMA report within ten days of the preceding quarter.**

**Guidance**

- CAAs are required to submit their quarterly report in FACSPRO within ten days of the preceding quarter.
- If the CAA un-submits report to make changes, print screen verifying the initial submission date before un-submitting report.
- Alabama Policies and Procedures, Section IX, A.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written. ☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Annual IS Data Report(s) ☐ Quarterly ROMA Reports ☐ FACSPRO Reports

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**



Operations and Accountability – Category 10: Agency CSBG funded Programs

**State Standard 10.1**

**The agency is carrying out activities as described in annual CAP.**

**Guidance**

- This is based on the CAA CAP submitted to ADECA.
- The CAA shall have evidence that the activities/programs listed on Program Activity Sheets are being carried out. This is met through CAA programs or referrals to other entities for services.

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Annual IS Data Report(s)

☐ Quarterly ROMA Reports

☐ CAA CAP

☐ Referral Documentation

☐ Client Files

☐ FACSPRO Reports

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 10.2** The agency maintains client files for services provided with CSBG funds that include identification, income verification, physical address documentation, and Social Security information.

**Guidance**

- Alabama CSBG Policy and Procedures Manual, Section VI

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Client Files

☐ Information Verified in FACSPRO

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**Guidance**

- Alabama CSBG Policy and Procedures Manual, Section VI, addresses nine (9) criteria/processes that shall be addressed.

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met –The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ CAA's Program Policies and Procedures**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**

Operations and Accountability – Category 11: Contractual Compliance

**State Standard 11.1** The agency's services are available to all low-income citizens including the disabled and/or handicapped and in compliance with the American Disabilities Act.

**Guidance**

- Buildings are wheelchair accessible.
- Parking is available for Handicap Access.
- Public Law 110-325

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Visually Checked Wheelchair Accessibility      ☐ Handicap Parking Clearly Marked
- ☐ Satellite Location Checked – Identify Site in Notes Below

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 11.2** The agency has a written non-discrimination policy relating to individuals served that is clearly visible to all potential clients.

**Guidance**

- Signage in waiting area
- Signage in view at intake area
- The CAA has written standards/policies relating to non-discrimination to ensure no individual shall be excluded from or denied benefits based on their race, color, national or ethnic origin, age, religion, disability, sex, sexual orientation, gender identity and expression, veteran status, or any other characteristic protected under applicable federal or state law.
- 45 CFR Part 84

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met –The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Visual Check of Waiting Area and/or Intake Area
- ☐ The CAA's Policies and Procedures Manual and/or Written Standards Contain Client Non-Discrimination Policy.

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 11.3****The agency is in compliance with CSBG contract provisions for electronic participation at board meetings.****Guidance**

- Meeting notifications are posted 7 days, 1 day, or 1 hour in advance on the Secretary of State's website.
- Pre-arranged meeting notifications are posted at least seven days in advance. 1-day notifications are only utilized for exercising the board's powers to possess or approve the expenditure of public funds. 1-hour notifications are only utilized for emergency meetings and resignations. Will be updated once contract language is finalized

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ Bylaws with policy outlined☐ Board minutes☐ Signed affidavit of members participating electronically**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:****State Standard 11.4****The agency has a non-smoking policy.****Guidance**

- Smoking is not permitted in any portion of any indoor facility currently being utilized by the subrecipient.
- Public Law 103-227, Part C

**State Assessment of Agency:**☐ Met-The CAA has met the requirements of the Standard as written.☐ Not Met -The CAA has not met the requirements.**Documentation used: (Check all that apply)**☐ No Smoking Signs Posted in Conspicuous Areas☐ No Smoking Policy in Policies and Procedures Manual**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:****Notes:****Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 11.5** The agency maintains evidence from [www.sam.gov](http://www.sam.gov) that payments have not been made to ineligible parties.

**Guidance**

- The CAA maintains a file of vendors paid with printout from website.
- OMB A-110 Subpart C

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Printouts from [www.Sam.Gov](http://www.Sam.Gov) indicating no Debarment/Suspension
- ☐ Randomly Selected Vendors Paid by the CAA and Checked on Above Website

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 11.6** The agency has a process in place for Child Support referrals for eligible parents.

**Guidance**

- The CAA has a process in place to inform custodial parents in single-parent families about the availability of child support services, and refer parents to the child support offices in their county.
- CSBG Act, Section 678(g)

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

- ☐ Client Referrals Recorded in FACSPRO

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 11.7** The agency has coordinated the provision of employment and training with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998.

**Guidance**

- The CAA may have a MOU in place with local entities providing WIA activities.
- FACSPRO can provide information regarding referrals to Career Centers.
- CSBG Act, Section 676

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Client Referrals Recorded in FACSPRO to WIA Activities (Career Centers/Community Colleges/Other WIA Activities)

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

**State Standard 11.8** The agency has published a statement informing employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the workplace and establishes the actions that will be taken against employees violating these prohibitions.

**Guidance**

- This information is provided in employee handbook or personnel policies manual that employee has acknowledged receipt of.
- Title V, D., Public Law 100-690

**State Assessment of Agency:**

☐ Met-The CAA has met the requirements of the Standard as written.

☐ Not Met -The CAA has not met the requirements.

**Documentation used: (Check all that apply)**

☐ Drug-free Workplace Notifications Posted in Conspicuous Areas within the Facility

☐ Employee Handbook or Acknowledgement Form

☐ Personnel Policy

**Any other documentation utilized to demonstrate whether the Standard was Met/Not Met:**

**Notes:**

**Next Steps needed to assist the CAA in meeting the Standard:**

